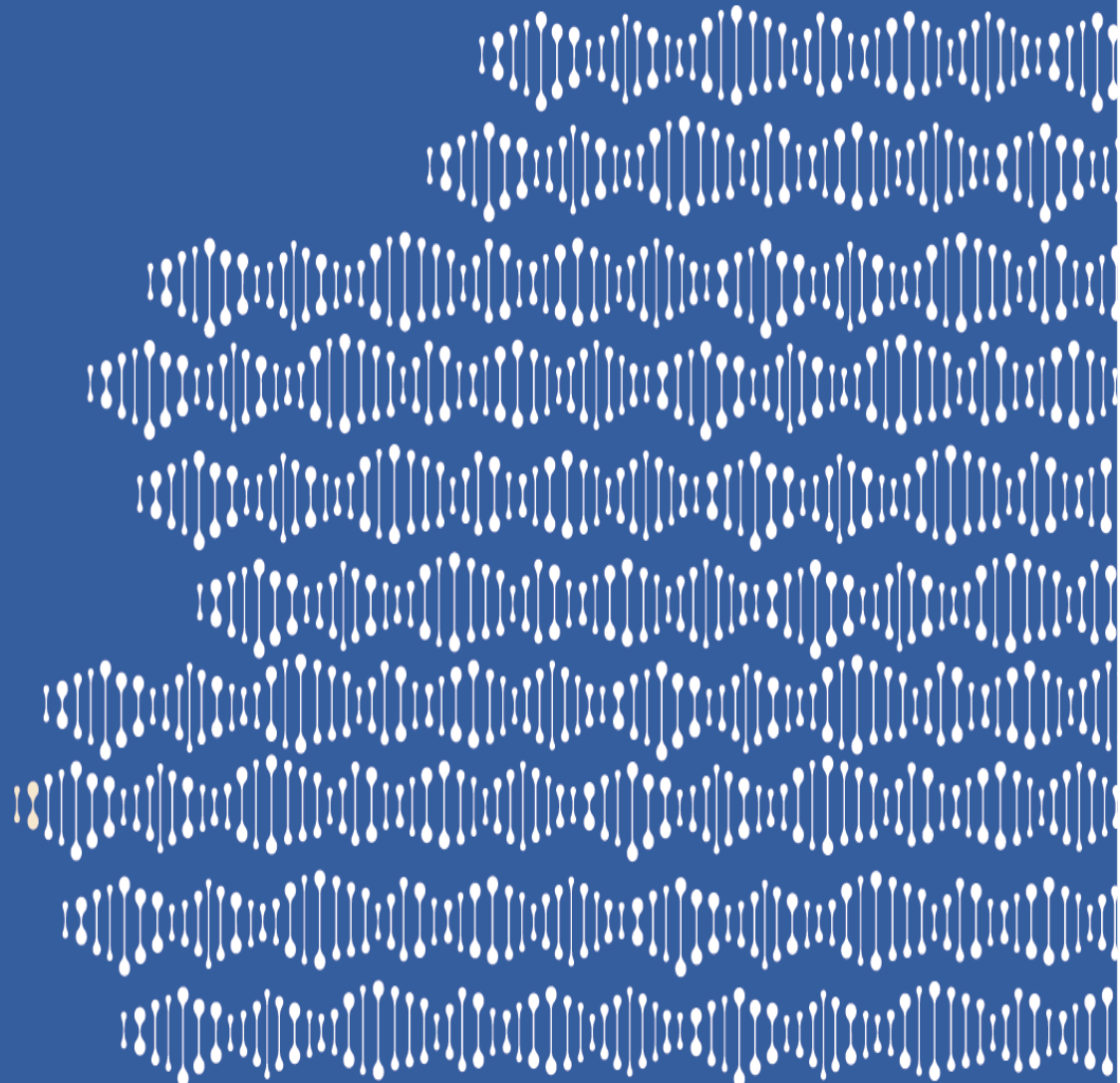




CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# Oversight Committee Meeting

August 19, 2015







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## **Summary Overview of the August 19, 2015, Oversight Committee Meeting**

This summary provides an overview of major agenda items and background on key issues for Committee consideration at the August 19, 2015, Oversight Committee meeting.

### **Oath of Office**

The Honorable Donald R. “Dee” Margo was appointed to the Oversight Committee by Governor Abbott on May 30, 2015, to serve a six year term. Mr. Margo will take his oath of office at the Oversight Committee meeting.

### **CEO Report**

Wayne Roberts will present the CEO’s report and address issues including new staff and CPRIT staff recruitment efforts, CPRIT’s request for FY 2016 bond authority, agency funds available for grant awards, and other issues as appropriate.

### **Chief Scientific Officer Report and Grant Award Recommendations**

Dr. Margaret Kripke will provide an update on the Academic Research Program and present the Program Integration Committee’s recommendations for recruitment awards.

*Information related to the academic research grant applications recommended for funding is not publicly disclosed until the Oversight Committee meeting. The information has been made available to board members through a secure electronic portal.*

### **Interim Chief Product Development Officer Program Overview**

Kristen Doyle will provide an update on the Product Development Research Program, including proposed revenue sharing terms for Oversight Committee approval.

### **Scientific Research and Prevention Programs Committee Appointments**

The Chief Executive Officer has appointed 12 new members to the CPRIT’s Scientific Research and Prevention Programs Committees. CPRIT’s statute requires the appointments to be approved by the Oversight Committee. A biographical sketch for each appointee is included in the board packet.

### **FY 2016 Honoraria Policy**

CPRIT’s enabling legislation requires CPRIT’s Chief Executive Officer, in consultation with the Oversight Committee, to adopt a policy regarding honoraria paid by CPRIT for peer review services. Mr. Roberts will present the FY 2016 Honoraria Policy for consideration.

### **FY 2016 Conflict of Interest Waivers**

Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation” provides a process for the Oversight Committee to consider and approve a waiver of statutory conflicts of interest for individuals involved in the grant review or award process. Mr. Roberts

proposes renewing the waivers previously approved for Dr. Margaret L. Kripke, CPRIT's Chief Scientific Officer, Kirk Cole, Interim Commissioner, Texas Department of State Health Services, Will Montgomery, Oversight Committee member, and Don Brandy, CPRIT employee. In addition, Mr. Roberts proposes a FY 2016 conflict of interest waiver for Amy Mitchell, Oversight Committee member. In order to approve the waivers, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process. The proposed waivers include limitations and other protections in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

### **Changes to Agency Administrative Rules**

Ms. Doyle will present proposed changes to the agency's administrative rules. Texas Health and Safety Code § 102.108 authorizes the Oversight Committee to implement rules to administer CPRIT's statute.

- Rule changes to §§ 703.7 and 703.8 are recommended for final adoption. The changes provide the framework for deferring grant award recommendations until a future meeting of the Program Integration Committee or the Oversight Committee. No public comments were received.

### **Texas Ethics Commission Advisory Opinion and Resolution**

The Texas Ethics Commission (TEC) issued Advisory Opinion No. 530 on August 7, 2015, finding that Oversight Committee members are not considered "state officers" for purposes of Chapter 572 of the Government Code. As a result of the TEC-staff initiated opinion, Oversight Committee members are not required to file personal financial statements with the TEC or be subject to standards of conduct applicable to state officers under Chapter 572. However, any statutory gaps that have been created based on the TEC's determination are fully addressed by CPRIT's statute and Code of Conduct, which set forth specific standards of conduct and ethical requirements that are similar to or stricter than Chapter 572. The Board Governance Subcommittee recommends the Oversight Committee approve a resolution committing its members to transparency, accountability, and good governance.

### **Agency Contracts**

Heidi McConnell will present several service contracts for approval for FY 2016. Four of the six contracts address support services integral to CPRIT's peer review process. Another contract, for an economic assessment of cost of cancer in Texas, is necessary to fulfil a statutory mandate. The sixth contract is for CPRIT's strategic communications services. Once approved by the Oversight Committee, the two contracts exceeding \$250,000 will be sent to the Legislative Budget Board for final approval.

### **Chief Prevention and Communications Officer Communications Update**

Dr. Becky Garcia will report regarding the Prevention Program activities. Dr. Garcia will also provide an overview of the agency's communications activities including 2015 CPRIT Conference planning, the new CPRIT accomplishments brochure, and a new series of videos where Texans talk about the difference CPRIT-funded programs have made in their lives.

### **Internal Auditor Report**

Weaver and Tidwell, CPRIT's internal auditor, will present a status report on CPRIT's outsourced internal audit services, including the updated 2015 Internal Audit Plan.

### **Chief Compliance Officer Report**

Vince Burgess will report on the status of required grantee reports, desk reviews and site visits as well as the grantee risk assessment for FY 2016.

### **Chief Operating Officer Report**

Ms. McConnell will present the operating budget, performance measures, and debt issuance history for the third quarter of FY 2015. She will also provide an overview of the FY 2016 operating budget.

### **FY 2016 Program Priorities**

Mr. Roberts will present a timeline for approving Program Priorities for FY 2016. The Prevention, Scientific Research, and Product Development Research subcommittees are expected to present final recommendations to the Oversight Committee for approval at the November 2015 meeting.

### **Subcommittee Assignments**

Oversight Committee members have discussed changing the membership of some or all subcommittees that serve the Oversight Committee. A list of current subcommittees and assigned members is provided.

### **Officer Elections**

The Oversight Committee's bylaws call for an election of officers at the last meeting of the fiscal year in every odd-number year. The Nominations Subcommittee will present its recommended slate of officers for a vote of the Oversight Committee at the August meeting.





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## Oversight Committee Meeting Agenda

Texas State Capitol Extension  
1400 N. Congress Avenue, Austin, Texas 78701  
Room E1.012

August 19, 2015  
10:00 a.m.

The Oversight Committee may discuss or take action regarding any item on this agenda, and as authorized by the Texas Open Meetings Act, Texas Government Code Section 551.001 et seq., may meet in closed session concerning any and all purposes permitted by the Act.

1. Call to Order
2. Roll Call/Excused Absences
3. Oath of Office
4. Adoption of Minutes from the May 20 meeting **TAB 1**
5. Public Comment\*
6. Chief Executive Officer Report **TAB 2**
7. Chief Scientific Officer Report **TAB 3**
  - Academic Research Program Report
  - Grant Award Recommendations
8. Interim Chief Product Development Officer Report **TAB 4**
  - Product Development Research Program Report
  - Revenue Sharing Terms
9. Scientific Research and Prevention Program Committee Appointments **TAB 5**
10. FY 2016 Honoraria Policy **TAB 6**
11. Health & Safety Code Section 102.1062 Waivers **TAB 7**
12. Final Order Approving Amendments to 25 T.A.C. Chapter 703 **TAB 8**
13. Report Regarding Texas Ethics Commission Advisory Opinion SP-12 **TAB 9**
  - Resolution
14. Contract Approvals **TAB 10**
  - Compliance Monitoring Support Services
  - Due Diligence Services
  - Economic Assessment of Cost of Cancer in Texas
  - Outside Legal Services
  - Strategic Communication Services
15. Chief Prevention and Communications Officer Report **TAB 11**
  - Prevention Program Report
  - Communications Report
16. Internal Auditor Report **TAB 12**
17. Chief Compliance Officer Report **TAB 13**
18. Chief Operating Officer Report **TAB 14**
19. FY 2016 Program Priorities Process **TAB 15**
20. Personnel – Chief Scientific Officer, Chief Product Development Officer
21. Subcommittee Assignments **TAB 16**
22. Subcommittee Business

- 23. Officer Elections
- 24. Compliance Investigation Pursuant to Health & Safety Code § 102.2631
- 25. Consultation with General Counsel
- 26. Future Meeting Dates and Agenda Items
- 27. Adjourn

**TAB 17**

**TAB 18**

*\* Anyone wishing to make public comments must notify the Chief Executive Officer in writing prior to the start of the meeting. The Committee may limit the time a member of the public may speak.*





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CANCER PREVENTION & RESEARCH  
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**Oversight Committee Meeting Minutes**

May 20, 2015

**1. Meeting Called to Order**

A quorum being present, Dr. Rice, Chair, called the Oversight Committee to order at 10:10 a.m.

**2. Roll Call /Excused Absences**

**Board Members Present:**

Angelos Angelou (arrived 10:25 a.m.)

Gerry Geistweidt

Pete Geren

Ned Holmes

Will Montgomery

Cynthia Mulrow, M.D. (arrived 10:18 a.m.)

Amy Mitchell

Bill Rice, M.D.

Craig Rosenfeld, M.D.

**3. Adoption of Minutes from the February 18 and April 20, 2015 meetings. (TAB 1)**

**MOTION:**

Dr. Rice called for a motion to approve the minutes of the February 18 and April 20, 2015, Oversight Committee meetings.

Motion made by Dr. Rosenfeld and seconded by Mr. Montgomery.

**MOTION CARRIED UNANIMOUSLY**

**4. Public Comments**

Dr. Rice noted no requests for comment were received.

## **5. Chief Executive Officer Report (TAB 2)**

Mr. Wayne Roberts, Chief Executive Officer, presented his report.

### **Update on Legislative Activities**

Legislation of Interest:

- Appropriations Bill: no difference in the House and Senate versions except our contract rider, which is not specific to CPRIT but the same contract rider as other agencies.
- Senate Bill 197 by Schwertner (requiring CPRIT to develop a self-sufficiency plan) is waiting to be heard on the House floor, where it is expected to pass as modified. The Senate is expected to concur.
- House Bill 1282 by Zerwas (requiring CPRIT to collaborate with the Department of State Health Services on a strategic plan designed to reduce HPV-related morbidity and mortality) has passed the House, moved to the Senate and been sent to committee.
- House Bill 1952 by Springer (ending the product development program) has been left pending in House committee.
- House Bill 4062 by Coleman (increasing the limit for prevention program awards) would increase prevention funding to 20 percent of budget; pending in committee.
- Senate Bill 20 by Nelson (relating to state agency contracting) is expected to pass and have a significant impact on all state agency contracting issues.

### **Update on CEO Activities**

- June 8, 2015, Mr. Roberts will participate in a panel at the Redefining Early State Investments Conference being held in Houston.

### **Report on Funds Available for Grant Awards in FY 2015**

Mr. Roberts noted that information on current available funds for grants is behind Tab 2 in the Oversight Committee's meeting book.

There was no further discussion nor questions for Mr. Roberts.

### **Personnel**

Mr. Roberts announced new personnel hired, transfers within the agency, and the Governor's appointment of Donald (Dee) Margo to replace outgoing Oversight Committee member Gerry Geistweidt.

**6. Compliance Investigation Pursuant to Health & Safety Code § 102.2631  
(Agenda Item 20)**

Dr. Rice announced that Agenda Item 20 would now be taken up out of order. He called the meeting into closed session at 10:30 a.m., pursuant to Health & Safety Code Section 102.2631, and invited Mr. Roberts, Dr. Kripke and Ms. Doyle into the closed session.

Dr. Rice reconvened the open meeting at 11:13 a.m. and declared no further action was required on this item at this time.

**7. Chief Prevention and Communications Officer Report—Prevention Grant Recommendations (Tab 3)**

**Prevention Program Report**

Dr. Rebecca Garcia, Chief Prevention and Communications Officer, noted the Prevention Program update could be found behind Tab 3 in the meeting materials. Her report provided an overview of the following activities:

- FY 2015 Review Cycle 2
- FY 2016 Review Cycle 1
- Other Activities

**Grant Award Recommendations**

Dr. Garcia reviewed the FY 2015 Cycle 2 proposed grant awards slates.

- Evidence Based Program services - 4 projects totaling \$5,749,973
- Colorectal Cancer Coalition - 2 projects totaling \$7,388,774
- Continuation/Expansion for Evidence Based Cancer Prevention Services - 5 projects totaling \$7,480,666

Dr. Garcia noted that although the proposed slates would add 11 projects to the prevention portfolio, 16 projects will be closing by the time the 11 are awarded. Therefore the percentage of counties covered by projects serving them directly would remain the same at 89 percent.

Mr. Geren shared with the Oversight Committee the discussion in the Prevention Subcommittee that showed how these applications align with the program priorities even though they were submitted before the priorities were developed. He also noted the subcommittee has asked staff to explore how best to collect information on the services by county that projects provide.

In response to the Oversight Committee's question about RFA award amounts, Dr. Garcia responded that the maximum for the Evidence Based Services award is \$1.5 million. The Competitive Continuation maximum award is also \$1.5 million. The

Colorectal Cancer Coalition awards did not have a funding cap because projects can vary widely depending on the size of the geographic service area and number of people they will serve. She stated that while the PP150061 colorectal cancer project at \$4.8 million will cover the same number of counties as the PP150054 award at \$2.5 million, PP150061 proposes to serve more people.

#### **Prevention Grant Award Recommendations**

<b>App ID</b>	<b>Mech.</b>	<b>Application Title</b>	<b>Organization</b>	<b>Recommended funding</b>
PP150061	EBP-CRC	The C-SPAN Coalition: Colorectal Screening and Patient Navigation	The University of Texas Southwestern Medical Center	\$ 4,800,000*
PP150079	EBP	STOP HCC –Evidence-Based Hepatocellular Cancer Prevention Targeting Hepatitis C Virus Infection	The University of Texas Health Science Center at San Antonio	\$ 1,488,294
PP150071	EBP	FluFIT on the Frontera: Increasing Colorectal Cancer Screening on the Texas-Mexico Border	Val Verde Regional Medical Center	\$ 1,500,000
PP150053	CCE-EBP	BSPAN3: Breast Screening and Patient Navigation for Rural and Underserved Women across North Texas	The University of Texas Southwestern Medical Center	\$ 1,499,993
PP150054 **	EBP-CRC	Alliance for Colorectal Cancer Testing (ACT) in Southeast Texas	The University of Texas M. D. Anderson Cancer Center	\$ 2,588,774
PP150077	EBP	Media-Rich Mobile Dissemination of a Dysphagia Prevention Program for Head and Neck Cancer Patients during Radiation	The University of Texas M. D. Anderson Cancer Center	\$ 1,263,342
PP150086	CCE-EBP	Access to Breast and Cervical Care for West Texas (West/Central Texas)(ABCC4WT)	Angelo State University	\$ 1,480,898
PP150080	CCE-EBP	Empower Her To Care Expansion: Increasing Access to Breast Cancer Screening and the Continuum of Care for Underserved Texas Women	The Rose	\$ 1,500,000

<b>App ID</b>	<b>Mech.</b>	<b>Application Title</b>	<b>Organization</b>	<b>Recommended funding</b>
PP150078	EBP	Cada Paso del Camino: Outreach, Education, Screening, Health Insurance Navigation, and Linkage to Treatment for Breast, Cervical, and Colorectal Cancers	MHP, Inc. Promoviendo Vidas Saludables	\$ 1,498,337
PP150064	CCE-EBP	University Health System Evidence-Based Colorectal Cancer Prevention Screening Program	University Health System	\$ 1,499,775
PP150089	CCE-EBP	Increasing Breast and Cervical Cancer Screening and Diagnostic Rates in Rural, Frontier, and Border Counties for Uninsured, Underserved Women	Texas AgriLife Extension Service	\$ 1,500,000

\* The Prevention Review Council (PRC) recommended reducing the grant to \$4,800,000 from the requested amount due to efficiencies to be achieved with their current colorectal cancer screening grant.

\*\* PRC recommends monitoring this grant closely to ensure navigation to follow-up and treatment is occurring. Per the RFA, access to follow-up and treatment must be ensured. The grantee should track all abnormal findings, providing outcomes in routine reports.

The PRC based their recommendations for the slate of FY15 Cycle 2 awards on several factors including geographic distribution and cancer type.

## COMPLIANCE CERTIFICATION

Ms. Kristen Doyle, Interim Chief Compliance Officer, presented her report on the Prevention Program Awards review process and certified the recommended awards for Oversight Committee approval.

## CONFLICT OF INTEREST NOTIFICATIONS – Prevention Grant Awards

Dr. Rice reported Ms. Mitchell had conflicts with applications submitted by the following institutions:

- University Health System
- The University of Texas Health Science Center at San Antonio
- The University of Texas M.D. Anderson Cancer Center
- The University of Texas Southwestern Medical Center
- Texas AgriLife Extension Service
- Val Verde Regional Medical Center
- Angelo State University

In accordance with CPRIT's rules, Dr. Rice stated Ms. Mitchell was recused from the discussion or action on these applications.

Additionally, Dr. Rice reported that Dr. Mulrow reported a conflict with PP150079 and was recused from the discussion or action on this application.

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendations for Evidence Based Cancer Prevention grant awards for applications submitted by:

- The University of Texas M.D. Anderson Cancer Center
- Val Verde Regional Medical Center

Motion was made by Mr. Holmes and seconded by Mr. Montgomery.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for Evidence Based Cancer Prevention grant awards for the applications submitted by:

- The University of Texas Health Science Center at San Antonio

Motion was made by Mr. Geistweidt and seconded by Mr. Holmes.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell and Dr. Mulrow abstained from voting.

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for Evidence Based Cancer Prevention grant awards for the applications submitted by:

- MHP, Inc. Promoviendo Vidas Saludables

Motion was made by Mr. Geistweidt and seconded by Mr. Holmes.

**MOTION CARRIED UNANIMOUSLY**

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendations for Colorectal Cancer Prevention Coalition grant awards for applications submitted by:

- The University of Texas Southwestern Medical Center
- The University of Texas M.D. Anderson Cancer Center

Motion was made by Dr. Rosenfeld and seconded by Mr. Holmes.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

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**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendations for Competitive Continuation and Expansion grant awards for applications submitted by:

- The University of Texas Southwestern Medical Center
- University Health System
- Texas Agrilife Extension Service
- Angelo State University

Motion was made by Mr. Geren and seconded by Mr. Geistweidt.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for Competitive Continuation and Expansion grant awards for the applications submitted by:

- The Rose

Motion was made by Mr. Montgomery and seconded by Mr. Geistweidt.

**MOTION CARRIED UNANIMOUSLY**

**MOTION:**

Having approved the PIC recommendations for the Prevention grant awards, Dr. Rice entertained a motion to delegate contract negotiation authority to the Chief Executive Officer and CPRIT staff and to authorize the Chief Executive Officer to sign the contracts on behalf of the Institute.

Motion was made by Mr. Holmes and seconded by Mr. Montgomery.

**MOTION CARRIED UNANIMOUSLY**

**8. Chief Scientific Officer Report (Tab 4)**

**Academic Research Program Report**

Dr. Kripke gave an overview of the recommendations being made (see memo behind Tab 4 in the meeting materials), stating details of the proposed awards were behind the Academic Research tab in the meeting materials handout titled "Proposed Grant Awards." Dr. Kripke's report including the following:

- Research Applications 15.2 Cycle
- Research Applications 16.1 Cycle
- Research Applications 16.2 Cycle
- Recruitment Applications
- Research Subcommittee Activities
- University Advisory Committee Update

- Advisory Committee on Childhood Cancers Update

In response to an Oversight Committee (OC) member question about the expertise of the current panel to review computational biology applications, Dr. Kripke stated that some of the current panel members have the expertise to review ETRA applications and more will be recruited as needed. Responding to another OC member question on Training RFA's, she stated we have special instructions to promote diversity.

When asked by an OC member about the rules for resubmission of grants, Dr. Kripke said grantees could resubmit once.

Responding to an OC member question about core facility grants, Dr. Kripke said that the grants were limited to academic institutions and that making those grants available to for-profit institutions would be complicated and have legal implications.

When questioned by an OC member on whether the length of time to work through the application and contracting process is causing grantees to decline CPRIT recruitment awards, Dr. Kripke said she believes that when grants are declined, it is usually because the applicants are highly sought after and have multiple offers from other institutions, not because of our process. Our success rate for recruiting applicants that have been approved for a recruitment award is 70-80%, which is quite high, compared to candidates recruited to academic institutions without CPRIT awards.

### **Grant Award Recommendations**

#### **Academic Research Grant Award Recommendations**

<b>App ID</b>	<b>Mechanism</b>	<b>Organization</b>	<b>Application Title</b>	<b>Budget</b>
RP150587	MIRA	Baylor College of Medicine	The Texas Hepatocellular Carcinoma Consortium (THCCC)	\$9,771,157
RP150611	CFSA	The Methodist Hospital Research Institute	CPRIT Core for RNA Therapeutics and Research	\$4,845,868
RP150535	CFSA	The University of Texas M. D. Anderson Cancer Center	Precision Oncology Decision Support Core	\$5,999,996
RP150573	HIHRRRA	The University of Texas Southwestern Medical Center	Dynamin GTPase: A novel pro-apoptotic cancer therapeutic target	\$200,000
RP150632	HIHRRRA	The University of Texas Southwestern Medical Center	Acetate may be a key substrate driving growth in early stage breast cancer in patients	\$200,000
RP150600	CFSA	The University of Texas Health Science Center at San Antonio	The Single-Cell Biopsy and Characterization Core (SBCC) at The University of Texas Health Science at San Antonio	\$3,277,895
RP150551	CFSA	The University of Texas Health Science Center at Houston	Therapeutic Monoclonal Antibody Lead Optimization and Development Core	\$5,277,338



<b>App ID</b>	<b>Mechanism</b>	<b>Organization</b>	<b>Application Title</b>	<b>Budget</b>
RP150640	HIHRRRA	The University of Texas Health Science Center at Houston	Drug Conjugates of anti-LGR5 Antibodies as Novel Therapeutics for Destroying Cancer Stem Cells	\$200,000
RP150676	HIHRRRA	The University of Texas Southwestern Medical Center	Identification of Novel Melanoma Metastasis Driver Genes through Transposon-Mediated Mutagenesis	\$200,000
RP150637	HIHRRRA	Texas A&M University System Health Science Center	Efficient Production of iPSC-Derived Mesenchymal Stem Cells to Kill Cancers by Bystander Effects from Suicide Genes	\$200,000
RP150648*	MIRA	Baylor College of Medicine	GATA2 and steroid receptor coactivator-2 cooperate with androgen receptor in prostate cancer progression and androgen resistance	\$6,151,179
RP150703	HIHRRRA	Texas A&M University System Health Science Center	Metabolomic Salivary Biomarkers for Oral Cancer Detection	\$199,999
RP150596	CFSA	The University of Texas Southwestern Medical Center	Bioinformatics Core Facility at UT Southwestern Medical Center	\$5,593,882
RP150720	HIHRRRA	Texas Tech University	Integrated on-chip networks for investigating exosome-mediated drug expulsion	\$200,000
RP150559	HIHRRRA	Texas A&M University	Small Molecules to Perturb A Novel PPI Target For Chemotherapy	\$200,000
RP150656	HIHRRRA	Texas Tech University Health Sciences Center	Engineered Bone Targeting Nanomedicine for Treatment of Bone Metastases from Breast Cancer	\$199,970
RP150578	CFSA	Texas A&M University System Health Science Center	The Combinatorial Drug Discovery Program (CDDP)	\$5,954,596
RP150701	HIHRRRA	Rice University	Non-invasive Colonoscopy by Molecular Imaging of Mucin Targeted Hyperpolarized Silicon Nanoparticles	\$200,000
RP150638	HIHRRRA	Baylor Research Institute	Elevated D-2-hydroxyglutarate precedes and promotes tumor progression in inflammatory bowel diseases	\$200,000
RP150590	HIHRRRA	The University of Texas Southwestern Medical Center	Identifying Inhibitors of Ascl1 to Block Growth of Malignant Neuroendocrine and Neural Tumors	\$200,000

<b>App ID</b>	<b>Mechanism</b>	<b>Organization</b>	<b>Application Title</b>	<b>Budget</b>
RP150713	HIHRRRA	The University of Texas at Dallas	Identification of Therapeutic Targets on Breast Cancer Stem Cells	\$194,543
RP150696	HIHRRRA	The University of Texas Health Science Center at San Antonio	Inhibition of Breast Cancer Metastasis to the Bone by microRNA Transmission through Gap Junctions	\$200,000
RP150711	HIHRRRA	The University of Texas at Arlington	Biomechanical profiling of migrating brain cancer genotypes in tightly-confined space for drug screening	\$199,998
RP150574	HIHRRRA	The University of Texas Health Science Center at San Antonio	Turning on a Novel Tumor-Inhibiting Switch for Colorectal Cancer	\$200,000

#### **Academic Research Recruitment Grant Award Recommendations**

<b>App ID</b>	<b>Mechanism</b>	<b>Organization</b>	<b>Candidate</b>	<b>Budget Requested</b>
RR150060**	RFT	The University of Texas Southwestern Medical Center	Dr. Randal Halfmann	\$2,000,000
RR150062	RFT	The University of Texas Southwestern Medical Center	Dr. Shixin Liu	\$2,000,000
RR150058	RFT	The University of Texas Southwestern Medical Center	Dr. Andreas Doncic	\$2,000,000
RR150054	REI	The University of Texas M. D. Anderson Cancer Center	Dr. Hongtu Zhu	\$4,000,000*
RR150059	RFT	The University of Texas Southwestern Medical Center	Dr. Maralice Conacci-Sorrell	\$2,000,000
RR150044	RFT	Rice University	Dr. Natalia Kirienko	\$2,000,000

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

REI = Recruitment of Established Investigators

\*The award amount for this REI candidate was reduced from \$6M to \$4M at the recommendation of the SRC.

\*\*RR150060 was withdrawn by the applicant after the meeting of the SRC but before the PIC meeting.

#### **COMPLIANCE CERTIFICATION**

Ms. Kristen Doyle, Interim Chief Compliance Officer, presented her report on the Academic Research Program Awards review process and certified the recommended awards for Oversight Committee approval.

## CONFLICT OF INTEREST NOTIFICATIONS

Dr. Rice noted for the record that Ms. Mitchell reported conflicts with applications submitted by the following institutions:

- Baylor College of Medicine
- Baylor Research Institute
- Methodist Hospital Research Institute
- Rice University
- The University of Texas at Arlington
- The University of Texas at Dallas
- The University of Texas Health Science Center at Houston
- The University of Texas Health Science Center at San Antonio
- The University of Texas M.D. Anderson Cancer Center
- The University of Texas Southwestern Medical Center
- Texas Tech University
- Texas Tech University Health Sciences Center
- Texas A&M University
- Texas A&M University Health Science Center

Dr. Rice stated that in accordance with CPRIT's rules, Ms. Mitchell was recused from the discussion or action on these applications.

No other conflict of interest declarations for Oversight Committee members were reported.

### **MOTION:**

Dr. Rice entertained a motion to approve each of the PIC's recommendations for Core Facility Support grant awards for applications submitted by:

- Methodist Hospital Research Institute
- The University of Texas Health Science Center at Houston
- The University of Texas Health Science Center at San Antonio
- The University of Texas M.D. Anderson Cancer Center
- The University of Texas Southwestern Medical Center
- Texas A&M University Health Science Center

Motion was made by Mr. Geistweidt and seconded by Mr. Angelou.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

### **MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for the High Impact High Risk Awards submitted by:

- Baylor Research Institute

- Methodist Hospital Research Institute
- Rice University
- The University of Texas at Arlington
- The University of Texas at Dallas
- The University of Texas Health Science Center at Houston
- The University of Texas Health Science Center at San Antonio
- The University of Texas M.D. Anderson Cancer Center
- The University of Texas Southwestern Medical Center
- Texas Tech University
- Texas Tech University Health Sciences Center
- Texas A&M University
- Texas A&M University Health Science Center

Motion by Mr. Geistweidt and seconded by Dr. Rosenfeld.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for the two Multi-Investigator Research Awards submitted by:

- Baylor College of Medicine

Motion was made by Mr. Holmes and seconded by Dr. Rosenfeld.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for the First Time Tenure Track Recruitment Awards submitted by:

- The University of Texas Southwestern Medical Center
- Rice University

Motion was made by Mr. Holmes and seconded by Dr. Mulrow.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

**MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for the Established Investigator Recruitment Awards submitted by:

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

Motion was made by Mr. Holmes and seconded by Mr. Geren.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

**MOTION:**

The PIC recommendations for the Academic Research and Recruitment grant awards having been approved, Dr. Rice entertained a motion to delegate contract negotiation authority to the Chief Executive Officer and CPRIT staff and to authorize the Chief Executive Officer to sign the contracts on behalf of the Institute

Motion was made by Mr. Montgomery and seconded by Dr. Mulrow.

**MOTION CARRIED UNANIMOUSLY**

**9. Chief Product Development Officer Report (TAB 5)**

**Product Development Research Program Report**

Dr. Goodman, Chief Product Development Officer, presented updates on the following program items:

- Mechanism of Support and Program Objectives
- Established Company Awards
- Summary of the Product Development Research awards approved by the Program Integration Committee (PIC).

Dr. Goodman reported that staff are in the process of visiting every awardee to keep abreast of compliance, and it is anticipated that staff will visit every grantee at least yearly.

Dr. Goodman noted that three awards were recommended to the PIC by the Product Development Review Council (PDRC) but that the PIC was forwarding only two recommendations to the Oversight Committee for approval. Details of the proposed awards were provided in the meeting materials.

In response to an OC member's question about the PDRC recommendation the PIC rejected, Mr. Roberts noted that he had dissented from the PIC's majority decision to reject the PDRC's recommendation. Although Mr. Roberts initially took the minority position recommending that the Oversight Committee approve an award to the company rejected by the PIC, he reports that he withdrew that recommendation prior to the Oversight Committee meeting. Noting that the minority recommendation was not before the Oversight Committee for consideration, Dr. Rice stated that the meeting discussion would focus on the two grants recommended by the PIC.

An OC member asked what would happen if a company left Texas after having been awarded a grant: would the money be returned or would CPRIT continue to have an interest in the company. Dr. Goodman responded that if they leave within three years,

the money would have to be refunded by the company but the revenue sharing terms would still be in effect.

The OC members discussed among themselves and the staff the definition of abandonment.

### **Grant Award Recommendations**

<b>Application ID</b>	<b>Company Name</b>	<b>Award Type</b>	<b>Project</b>	<b>Requested Budget</b>
DP150019	Vermillion, Inc.	Established Company	Development and Validation of a Second-Generation Multivariate Test for Use in Assessing Risk of Ovarian Mass Malignancy	\$7,533,011
DP150005	Rosellini Scientific, Inc.	New Company	Wireless Neuro-modulation Treatment for Bladder Dysfunction Secondary to Cancer	\$967,000

### **COMPLIANCE CERTIFICATION**

Ms. Kristen Doyle, Interim Chief Compliance Officer, presented her report on the Product Development Research Program Awards review process and certified the recommended awards for Oversight Committee approval.

### **CONFLICT OF INTEREST NOTIFICATIONS – Product Development Research Grant Awards**

Dr. Rice noted for the record that Ms. Mitchell reported a conflict with the application submitted by Vermillion, Inc.

### **MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for the Established Company Product Development Research Award and award amount, as recommended by the PIC.

Motion was made by Mr. Montgomery and seconded by Dr. Rosenfeld.

**MOTION CARRIED UNANIMOUSLY**

Dr. Rice noted for the record that Ms. Mitchell abstained from voting.

### **MOTION:**

Dr. Rice entertained a motion to approve the PIC's recommendation for the New Company Product Development Research Award and award amount, as recommended by the PIC.

Motion was made by Mr. Montgomery and seconded by Dr. Rosenfeld.

**MOTION CARRIED UNANIMOUSLY**

**MOTION:**

Having approved the PIC recommendations for the two Product Development Research Awards, Dr. Rice entertained a motion to delegate contract negotiation authority to the Chief Executive Officer and CPRIT staff and to authorize the Chief Executive Officer to sign the contracts on behalf of the Institute.

Motion was made by Mr. Geistweidt and seconded by Mr. Geren.

**MOTION CARRIED UNANIMOUSLY**

**MOTION:**

Dr. Rice entertained a motion to authorize CPRIT to disburse grant funds via advance payments to the two Product Development Research Awards approved, pursuant to the General Appropriations Act, Article IX, Section 4.03(a).

Motion was made by Mr. Montgomery and seconded by Dr. Rosenfeld.

**MOTION CARRIED UNANIMOUSLY**

**10. FY 2016 Bond Issuance Resolution (TAB 6)**

Ms. Heidi McConnell, Chief Operating Officer presented the staff recommendation to approve the FY 2016 request for financing bond resolution to the Texas Public Finance Authority to issue debt on behalf of CPRIT in the amount of \$300 million in bond proceeds for agency operations and grant awards.

Mr. Angelou, Chair of the Audit Subcommittee, presented the subcommittee's recommendation of approval.

**MOTION:**

Dr. Rice entertained a motion to approve CPRIT's resolution authorizing a request for financing to the Texas Public Finance Authority.

Motion was made by Mr. Holmes and seconded by Ms. Mitchell.

**MOTION CARRIED UNANIMOUSLY**

**11. FY 2016 Contract Renewal – SRA International (TAB 7)**

Ms. McConnell presented staff recommendations to exercise the 12-month renewal option with SRA International for the Pre-and Post-Award Grants Management Support Services at an estimated cost of \$9.6 million in FY 2016.

Mr. Angelou presented the Audit Subcommittee recommendation to renew the SRA contract.

In response to OC member questions, Mr. Roberts stated that the Governor's request that state agencies begin implementing the provisions of Senate Bill 20 (regarding contracting reform) does apply to this request. He also stated that this contract renewal will need to be approved by the Legislative Budget Board, which is currently extremely busy in the closing weeks of the session. Given the possibility that this approval process is slowed down, there may be a period of time when the agency is without this service. The contract renewal would be effective September 1, 2015.

**MOTION:**

Dr. Rice entertained a motion to approve a contract renewal with SRA International for FY 2016.

Motion was made by Mr. Montgomery and seconded by Dr. Rosenfeld.

**MOTION CARRIED UNANIMOUSLY**

**12. Final Order Approving Amendments to 25 T.A.C. Chapter 703 (TAB 8)**

Ms. Doyle presented the proposed rule change. She stated the rule change was provisionally approved at the February 2015 meeting and published in the Texas Register for comments. Staff is now requesting final approval.

Dr. Rice referred to a memo from the Board Governance Subcommittee Chair recommending approval of these rule changes.

**MOTION:**

Dr. Rice entertained a motion to approve the final orders adopting CPRIT's rule changes and to direct staff to file the orders with the Secretary of State.

Motion was made by Mr. Holmes and seconded by Dr. Mulrow.

**MOTION CARRIED UNANIMOUSLY**

**13. Proposed Amendment to 25 T.A.C. Chapter 703 and Authorization to Publish in the Texas Register (TAB 9)**

Ms. Doyle presented the proposed Amendment to T.A.C. Chapter 703.

Dr. Rice referred to a memo from the Board Governance Subcommittee Chair recommending for approval of the proposed changes.

**MOTION:**

Dr. Rice entertained a motion to instruct staff to publish the proposed rule amendments to Chapter 703 in the *Texas Register* in accordance with the requirements of the Administrative Procedure Act.

Motion was made by Ms. Mitchell and seconded by Mr. Geistweidt.



**MOTION CARRIED UNANIMOUSLY**

**14. Board Governance – Upcoming Officer Elections and Subcommittee Assignments (TAB 10)**

Dr. Rice started discussion on a memo from the Chair of the Board Governance Subcommittee recommending a process to recommend officer candidates. The process would be led by the outgoing Chair and the Nominations Subcommittee, which would put together a slate of nominees. Mr. Roberts and Ms. Doyle presented recommended changes to the charter of the Nominations Subcommittee and also to the Oversight Committee bylaws.

**MOTION:**

Dr. Rice entertained a motion to approve the proposed process for officer elections as reflected in the amendments to the Oversight Committee Bylaws and Nominations Subcommittee charter.

Motion was made by Dr. Rosenfeld and seconded by Mr. Montgomery.

**MOTION CARRIED UNANIMOUSLY**

**15. Interim Chief Compliance Officer Report (TAB 11)**

Ms. Kristen Doyle, Interim Chief Compliance Officer, discussed the following items included in her memo:

- Submission Status of Required Grant Recipient Reports
- CPRIT's Grants Reports Reconciliation Project
- Compliance Program Activities
  - Training
  - FSR Reviews
  - Desk Reviews
  - On-site Visits
  - Reporting

Ms. Doyle also reported that CohnReznik began providing compliance program support on April 30, 2015, and the new agency's new Chief Compliance Officer, Mr. Vince Burgess, will begin work June 15, 2015.

**16. Chief Operating Officer Report (TAB 12)**

Ms. Heidi McConnell, Chief Operating Officer, provided the Chief Operating Officer Report (behind Tab 12 in the meeting materials) which included the following topics:

- FY 2015, Quarter 2 Operating Budget
- FY 2015, Quarter 2 Performance Measures
- Debt Issuance History

**17. Chief Prevention and Communications Officer Report – Communications Report (TAB 13)**

Dr. Rebecca Garcia, Chief Prevention and Communications Officer, stated her Communications Report could be found behind Tab 13 in the meeting materials. She discussed the following items:

- Earned Media Report
- CPRIT 2015 Conference
- CPRIT Messages and Accomplishments
- PBS Cancer Documentary Screening
- Patient Videos
- Social Media

**18. FY 2016 Program Priorities Process (TAB 14)**

Mr. Roberts stated his memo regarding FY 2016 Program Priorities Discussion could be found behind Tab 14. Discussion of the program priorities was postponed until the August 19, 2015, meeting.

**19. Requests for Applications (TAB 15)**

Mr. Roberts stated the Oversight Committee had requested at its April 20, 2015, meeting that staff provide a history of the release of Requests for Applications (RFAs) for each program mechanism and to identify future releases in FY 2016. He noted that information is provided behind Tab 15 of the meeting materials to be used in the Program Priorities discussion.

**20. Personnel – Chief Scientific Officer, Chief Compliance Officer (TAB 16)**

Mr. Roberts outlined the current timeline, process and interview committee for the national search for a new chief scientific officer to replace Dr. Kripke, who is retiring on or about August 31, 2015.

There was no discussion of the Chief Compliance Officer position.

**21. Subcommittee Business**

This agenda item was not taken up.

**22. Consultation with General Counsel**

This agenda item was not taken up.

**23. Future Meeting Dates and Agenda Items**

Dr. Rice stated that the next regular Oversight Committee meeting is scheduled for August 19, 2015. CPRIT staff will circulate a tentative agenda prior to the meeting.

Dr. Rice also noted the possible need for a September meeting. After discussion, the Oversight Committee members decided on a date of Thursday, September 10, 2015, should that meeting be necessary.

**24. Adjourn**

**MOTION:**

There being no further business, Dr. Rice moved to adjourn the meeting at 2:00 p.m.

Motion was seconded by Mr. Montgomery.

**MOTION CARRIED UNANIMOUSLY**

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Signature

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Date





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**  
**From: WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: AGENDA ITEM 6, CHIEF EXECUTIVE OFFICER REPORT**  
**Date: AUGUST 7, 2015**

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As of this writing the Chief Executive Officer Report for the August 19, 2015, Oversight Committee meeting will consist of the following items:

- introduction of new staff
- status of various CPRIT staff personnel recruitments
- request for 2016 bond authority from the Bond Review Board, and
- funds available for grant awards in FY 2015.

Other topics may be added as warranted.

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CPRIT has awarded **908** grants totaling **\$1.329 billion**

- 146 prevention awards totaling \$142.2 million
- 762 academic research and product development research awards totaling \$1.187 billion

Of the \$1.187 billion in academic research and product development awards,

- 33.1% of the funding (\$393.5 million) supports clinical research projects
- 27.2% of the funding (\$322.8 million) supports translational research projects
- 21.4% of funding (\$253.5 million) supports recruitment awards
- 15.8% of the funding (\$187.9 million) supports discovery stage research projects
- 2.5% of funding (\$29.5 million) supports training programs.

CPRIT has 10 open Requests for Applications (RFAs)

- 7 Academic Research and Recruitment
- 3 Product Development

**FY 2015 GRANT AWARD FUNDS AVAILABLE**

General Obligation Bond Proceeds

**TAB 2**

	Prevention	Research & Product Development	Operating Budget	Total Appropriations
Available Appropriated Funds	29,006,567	261,059,105	9,934,328	300,000,000
Unexpended Bond Proceeds Carry Forward		1,834,106		1,834,106
Approved Adjustments to Operating Costs		(9,160,324)	9,160,324	
Approved Adjustment to Operating Costs		(336,000)	336,000	
Unapproved Adjustment to Operating Cost		(125,000)	125,000	
Appropriations Transfer to DSHS		(2,969,554)	2,969,554	
Adjusted Appropriations	\$ 29,006,567	\$ 250,302,333	\$ 22,525,206	\$ 301,834,106
Adjustment for 10% Prevention Awards Limit	(1,075,677)	\$ 1,075,677		
Final Adjusted Appropriations	\$ 27,930,891	\$ 251,378,010	\$ 22,525,206	\$ 301,834,106

**Total Available for Grant Awards (Total GO  
Bond Proceeds Less Operating Budget)**

**\$ 279,308,900**

11/19/14 Prev Awards	\$ 7,271,233	\$ -
11/19/14 Rsch Recruitment Awards	\$ -	\$ 24,000,000
11/19/14 PD ETRA Awards	\$ -	\$ 33,856,975
2/18/15 PD Awards		\$ 48,000,000
2/18/15 Rsch II Awards		\$ 56,922,094
2/18/15 Rsch Recruitment Awards		\$ 6,000,000
4/20/15 Rsch Recruitment Awards		\$ 6,000,000
5/20/15 PD Awards	\$ -	\$ 13,700,000
5/20/15 Research Awards Pending Approval 5/20		\$ 50,066,421
5/20/15 Rsch Recruitment Awards		\$ 10,000,000
5/20/15 Prevention Awards	\$ 20,619,413	

<b>Grant Awards Subtotal</b>	<b>\$ 27,890,646</b>	<b>\$ 248,545,490</b>	<b>\$ 276,436,136</b>
Declined Recruit(MDACC) 11/2014 Slate		\$ (2,000,000)	\$ (2,000,000)
3/15 Declined Recruit(UTSW) 11/2014 Slate		\$ (4,000,000)	\$ (4,000,000)
4/15 2 Declined Recruits(UTSW) 11/2014 Slate		\$ (8,000,000)	\$ (8,000,000)
4/15 Declined Recruit (UTSW) 4/2015 Slate		\$ (4,000,000)	\$ (4,000,000)
5/15 Reductions to 4 Research Awards		\$ (2,167,827)	\$ (2,167,827)

<b>Revised Grant Award Subtotal</b>	<b>\$ 27,890,646</b>	<b>\$ 228,377,663</b>	<b>\$ 256,268,309</b>
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<b>Available Funds as of April 29, 2015</b>	<b>\$ 40,245</b>	<b>\$ 23,000,347</b>	<b>\$ 23,040,591</b>
Rsch Recruitment (RRP-8) Pending Approval 8/19		\$ 11,000,000	
Rsch Recruitment (RRP-9) Pending Approval 8/19		\$ 12,000,000	
<b>Pending Award Subtotal</b>	<b>\$ -</b>	<b>\$ 23,000,000</b>	<b>\$ 23,000,000</b>
<b>Total Potential Available as of August</b>	<b>\$ 40,245</b>	<b>\$ 347</b>	<b>\$ 40,591</b>

**Operating Budget Detail**

Indirect Administration	\$ 3,365,411
Grant Review & Award Operations	\$ 16,190,241
Subtotal, CPRIT Operating Costs	\$ 19,555,652
Cancer Registry Operating Cost Transfer	\$ 2,969,554
Total, Operating Costs	22,525,206





CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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**To:** OVERSIGHT COMMITTEE MEMBERS  
**From:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**Subject:** CPRIT ACTIVITIES UPDATE – JULY 2015  
**Date:** AUGUST 3, 2015

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Topics in this update include: Oversight Committee meeting preparations, CPRIT staffing, Texas Ethics Commission decision affecting Oversight Committee members, Compliance Program, Program Updates, Operations (including contracts and audits), Staff Presentations and Meetings, and Subcommittee Meetings.

**Preparation for the August Oversight Committee Meeting**

The Oversight Committee is scheduled to meet August 19 at 10:00am in the Capitol Extension. The final agenda for the Oversight Committee meeting will be posted by August 10; a tentative agenda is attached. Please let me know as soon as possible if you are unable to attend.

A major agenda item will be consideration and approval of the Program Integration Committee (PIC) award recommendations for recruitment grants. The PIC met July 30 to review the grant award recommendations made by the Scientific Research Review Council. In addition, this will be the last meeting of CPRIT's fiscal year, so there are several items on the agenda addressing policy and contract renewals that will impact the FY 2016. Officer elections are also scheduled for the August meeting.

You should have received an email from CPRIT on July 31 with a link and password to access the PIC's recommendations via the grant award portal. The portal has supporting documentation regarding each project proposed for an award, including the application, CEO affidavit, summary statement, and grant pedigree. A summary of the award slate will also be available through the portal. Please allow time to complete the individual conflict of interest checks and review the supporting material.

We plan to distribute the agenda packet to Oversight Committee members electronically by COB August 12. It is our intention to make hard copies of the agenda packet for all members only at the meeting on August 19.



## **Personnel Changes and Job Openings**

CPRIT posted the position of Chief Scientific Officer (CSO) on July 28, 2015. CPRIT's search firm, Spencer Stuart, recommends leaving the application period open ended. Spencer Stuart staff, Lisa Nelson (Operations Manager) and I will teleconference regularly during the application and screening process. As previously reported, an organizational meeting of the CSO Interview Committee occurred on June 16. Interview questions will be developed and circulated for comment among committee members. The process is designed to have a finalist identified, perhaps starting, by November 1, 2015.

The listing for the vacant Chief Product Development Officer position was posted on June 19 and will close on August 3. After the applicant pool is screened, candidates will be selected for initial interviews. Although not finalized, I expect the initial interviews to be with members of senior staff. Finalists will be interviewed by an expanded team including Drs. Rosenfeld and Rice and at least one member of the Product Development Review Council. After those interviews the need for additional interview(s) will be considered before my final interview(s) determine a candidate to whom an employment offer will be made.

We have hired two Operations Specialists to work on grants with Lisa Nelson, Operations Manager. One position is filled by Dan Limas who has been with CPRIT, most recently as a grant accountant. The second position will be filled by Araceli Dwyer on August 3. She comes to us from the Office of the Comptroller of Public Accounts with a broad background in state agency operations.

CPRIT is accepting applications to fill three open grant accountant positions. Until the open grant accountant positions are filled, Dan Limas will continue to assist in accounting activities during his transition to the Operations Specialist position. In addition, a contract temporary employee, Hector Gonzales, has been retained to assist with accounting.

We still intend to post for a new communications position to conduct and manage the research, writing, and editing of the agency website content in addition to assisting with the writing of health and science content for use in agency publications and reports.

Administrative Assistant Yvette Jimenez resigned to take a position at another state agency. Her vacancy is posted until August 3. In the interim, a contract temporary employee, Sue Cutler has been retained.

CPRIT currently has 32 authorized full-time equivalent (FTE) positions, of which 28 are filled.

## **Oversight Committee Member Orientation**

Kristen Doyle (Deputy Executive Officer & General Counsel and Interim Product Development Officer), Heidi McConnell (Chief Operating Officer), and I met with new Oversight Committee member Dee Margo in El Paso on July 6 for briefings on various aspects of CPRIT's operations. While in El Paso, we also met with Emma Schwartz, President of Medical Center of the Americas Foundation and her staff about CPRIT grant opportunities in West Texas. Ms. Schwartz is also a member of the Product Development Advisory Committee established last fall to assist CPRIT with product development issues.

## **Texas Ethics Commission Scheduled to Make Determination Affection CPRIT Oversight Committee Members August 7**

Texas Ethics Commission (TEC) staff have preliminarily determined that CPRIT's Oversight Committee members are not considered "appointed officers" for purposes of Texas Government Code Chapter 572 (Chapter 572). TEC Staff's interpretation is based on changes made to CPRIT's enabling legislation in the 2013 legislative session. TEC Commissioners are scheduled to issue an advisory opinion regarding this issue at the TEC's public meeting on August 7, 2015. Ms. Doyle will attend the TEC meeting.

A decision that Oversight Committee members are not "appointed officers" under Chapter 572 is important because many of the Chapter 572 provisions that govern standards of conduct and conflicts of interest will not apply to Oversight Committee members. However, Texas Health & Safety Code Chapter 102 (Chapter 102) and CPRIT's Code of Conduct set forth specific standards of conduct and ethical requirements that are, in most cases, similar to or stricter than the provisions of Chapter 572 that would no longer be applicable to Oversight Committee members. There are two issues addressed by Chapter 572 that are not covered by CPRIT's statute or Code of Conduct, but making conforming changes to CPRIT's administrative rules or Code of Conduct exceeds the agency's authority. Ms. Doyle will update you about the TEC's decision at the August Oversight Committee meeting.

## **Legislative and Related Briefings**

Kristen Doyle and I met with Representative Jim Keffer on July 13 to brief him on how CPRIT fared during the recently concluded regular session of the 84<sup>th</sup> Legislature as well as agency plans for the legislative interim.

On July 10, CPRIT, as well as other agencies, received a request from Texas Legislative Council (TLC) for state grants that provided funds directly to organizations in or provided services to residents in Atascosa, Brooks, Duval, Jim Hogg, Kenedy, La Salle, Live Oak, McMullen, Starr,

Webb, Willacy, and Zapata from January 1, 2003, through June 30, 2015. The request, due by July 31, included grants for predecessor agencies, so the grant information compiled included both CPRIT grants from FY 2010 through the present and Texas Cancer Council grants from FY 2004 through FY 2009. TLC was compiling this information based on a legislative request, but no additional information about the request was provided.

## **Compliance Program**

### Submission Status of Required Grant Recipient Reports

CPRIT Grant Compliance Specialists monitor the status of grantee reports that are currently due. A summary of missing reports is produced by CGMS every week; this is the primary source used by CPRIT's compliance staff to follow up with grantees.

As of the most recent CGMS report (July 28, 2015), 21 required grantee reports from 6 institutions, organizations, and companies have not been filed in the system by the set due date. (These figures do not include the reports included in the reconciliation project discussed below.) In most cases, CPRIT does not disburse grant funds until the required reports are filed. In some instances, grantee institutions may be ineligible to receive a future award if required reports are not submitted. CPRIT's grant compliance specialists and the grant accountants have continued reviewing and processing incoming reports and reaching out to grantees to expeditiously resolve filing issues.

### Risk Assessment Model

The Audit Subcommittee met on July 23 to discuss the proposed Risk Assessment Model presented by CohnReznick. As you may recall, CohnReznick has been contracted to provide compliance program support services. CohnReznick's first priority was to complete a grantee risk assessment to serve as the basis for identifying grantee entities to be reviewed. The Audit Subcommittee requested additional information regarding factor weighting and offered suggestions to the overall tool design. The risk assessment tool will be reviewed again at the next Audit Subcommittee in August. No Oversight Committee action is required.

### Fraud, Waste, and Abuse Hotline

Effective July 1 CPRIT implemented a compliance and ethics hotline called "Red Flag Reporting." Red Flag Reporting is an independent organization that protects organizations, their employees, and their assets. This service allows individuals to report any concerns regarding fraudulent activity/theft, misconduct, safety violations, or unethical behavior. This service is not run by CPRIT employees and allows users to remain completely anonymous if they choose.

The establishment of a hotline is consistent with amendments, passed in 2013, to the Texas Health & Safety Code Chapter 102 and is part of CPRIT's on-going efforts to ensure that the agency has strong internal controls and to protect the integrity of CPRIT's grant process, as well as Texas taxpayer dollars. This reporting mechanism is available to Oversight Committee Members, CPRIT employees, CPRIT Grantees, and the general public. Information regarding the hotline has been communicated via CPRIT's Grant Management System (CGMS), CPRIT's website, and Listserv, and has been included in grantee training material.

### CPRIT's Grant Reports Reconciliation Project

CPRIT staff and grantees continue working on the third stage of its three part reconciliation project. CPRIT staff initiated a comprehensive reconciliation project in 2014 to ensure that all grantee reporting data submitted to CPRIT's Grant Management System (CGMS) is correct and current. CPRIT relies upon CGMS to assist with monitoring the number of late or missing grantee reports. Accurate, up-to-date grantee reporting data produces the most reliable CGMS results, which are crucial to CPRIT's compliance monitoring efforts.

CPRIT typically has 530+ grants that are either active or wrapping up grant activities. Grantees submit between 12 – 15 reports each year per grant project. This means that CPRIT grantees should submit approximately 6,400 reports annually. Until the grant reports reconciliation project is complete, the CGMS monitoring reports will not be completely comprehensive.

When this phase started, CGMS reported that it was unable to locate more than 1,200 forms in the system. During the month of July, the number of missing reports decreased significantly, with grantees submitting over 500 reports. This is in addition to the 600+ reports submitted by grantees during the month of June. As of July 27, 65 reports need to be submitted by 16 entities. CPRIT has requested grantees to submit all reports by August 1.

## **Scientific Research Program Update**

### Academic Research Grants

#### 16.1 Research Applications

Applications submitted in response to latest round of Requests for Applications (RFA) that closed on May 20, 2015, are under review by peer review panels. The mechanisms include Research Training Awards, untargeted Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancers in Childhood and Adolescents (IIRACCA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), and Individual Investigator Research Awards for Computational Biology (IIRACB). Applications total 498 after administrative review for discussion at the review panels in Dallas between September 28 and October 7, 2015.

## 16.2 Research Request for Applications

CPRIT released RFAs for High Impact High Risk Grants (HIHR), Core Facilities Support Awards (CFSA), and Multi-Investigator Research Awards (MIRA) on July, 6, 2015. These will constitute the second and final cycle of awards for FY 2016. The electronic application system opens on August 11 and applications are due October 13. These applications will be reviewed during the winter and discussed at the March 9-16, 2016 peer review meetings.

## 17.1 Research Request for Applications

CPRIT released a RFA for Core Facilities Support Awards for Competitive Renewals for current grantees whose funding expires in November 2016. As above, the electronic application system opens on August 11 with applications due October 13, with review at the March 2016 peer review meetings. These grants will not be recommended for funding or approved until November 2016 (FY 2017). In order to prevent a gap in funding for these successful projects, the RFA release and peer review needed to occur during this period.

## Recruitment Applications

The Scientific Review Council (SRC) met in July to discuss recruitment applications submitted for consideration. The SRC will provide a final recommendation for recruitment candidates in early September. The recommendations will be presented at the special September 10 Oversight Committee for approval.

## Multi-Investigator Research Award (MIRA) Information Session

Staff will conduct an information session on August 12, 2015, at The University of Texas M.D. Anderson Cancer Center on the MIRA program. This will occur in response to a request from the institution and Principle Investigators to provide better understanding of the program and what is required for a successful application. After the initial request, the session was opened to any Texas institution wanting to participate. Options for allowing offsite participation via web streaming are being explored.

## **Product Development Program Update**

### Product Development Research Grants

#### Due Diligence – Cycle 15.4

The Product Development Research peer review panel recommended three Product Development Research applications for due diligence in April. Intellectual property and business due diligence is ongoing. The Product Development Research Review Council will consider the due diligence reports and make award recommendations to the Program Integration Committee and the OC at its meeting on November 18.

## Request for Applications – Cycle 16.1

Three RFAs (for new, established, and relocating companies) was released on July 6. Applicants may submit proposals August 3 through September 16, 2015. Applications recommended for awards are expected to be considered at the May 2016 OC meeting.

## **Prevention Program Update**

### Prevention Grants

FY2016 Review Cycle 1: Five RFAs were released in April, one of which is new—“Dissemination of CPRIT-funded Cancer Control Initiatives.” Other changes to the RFAs included the addition of the approved program priorities and changes to the areas of emphasis to include screening for Hepatitis B and C for the prevention of liver cancer.

Twenty applications were received by July 9, 2015. Reviewers are being recruited and assigned applications for peer review in Dallas on September 21 and 22. Award recommendations will be presented at the November 2015 Oversight Committee meeting.

FY2016 Review Cycle 2: RFAs are being updated for release on September 24, 2015. “See, Test & Treat<sup>®</sup>” (STT), a new RFA, is the result of a collaboration between CPRIT and the College of American Pathologists (CAP) Foundation. STT is a tested, evidence based program developed by the CAP Foundation that is a one-day community based cervical and breast cancer screening program organized by pathologists in partnership with medical facilities. It is unique in that it provides same-day results, some follow-up care on the day of the program and a plan of action for further treatment if required. Program delivery calls for collaboration among pathologists, obstetricians/gynecologists, family medicine practitioners, radiologists, cytotechnologists, radiology technicians, nurses, healthcare administrators, outreach specialists and community advocates/organizers.

### Prevention Program Outreach

- On July 22, Dr. Garcia and Ramona Magid met with Baylor Scott & White in Waco.
- On August 12 Dr. Garcia and Ramona Magid are scheduled to meet with the regional medical director and associate director for Health Service Region 7 in Temple.
- On September 2 Dr. Garcia, Ramona Magid and I are scheduled to meet with The University of Texas Health Science Center Tyler and area community organizations in Tyler. We will also meet with the editorial board of the *Tyler Morning Telegraph* on September 3 to publicize CPRIT’s prevention outreach effort.

## Prevention Program Reporting

Prevention grantees were surveyed to solicit information on the feasibility of reporting activities by county. Responses were due July 24 and results will be presented to the Oversight Committee Prevention Subcommittee on August 11.

## **Communications Update**

### CPRIT 2015 Biennial Conference

Communications activities are centered on planning for the November 9-10, 2015, Biennial Conference. The conference website and registration opened on July 23. Abstracts are coming in and the deadline for submission extended to August 14. The majority of speakers are confirmed and course descriptions for use on the website and in the program are being submitted by the speakers. Vendors for graphic design, printing and décor will be procured in September.

### CPRIT Messages and Accomplishments

A new CPRIT's accomplishments brochure with updated statistics will be available after the August 19 Oversight Committee meeting. This report will be posted on CPRIT's website and the link included in posts on our social media platforms.

The communications team is gathering information on the editorial calendars of various journals. The goal is to match CPRIT grantees with topics on the editorial calendar and offer the CPRIT grantee as a resource for journal articles.

### CPRIT Prevention Milestone

News that CPRIT has surpassed the 2 million milestone in cancer prevention services provided to Texans was disseminated in a statewide press release and posted on CPRIT's Twitter feed, Facebook page and website.

### Texans Tell Their Stories

On the Prevention page of CPRIT's website, a new tab was created for a series of videos where Texans talk about the difference CPRIT-funded programs have made in their lives.

## **Operations and Finance (Contracts, RFPs, Audit**

### Financing Request

On June 7, the Texas Public Finance Authority Board (TPFA) approved CPRIT's request for financing of \$300 million in general obligation debt for FY 2016. Heidi McConnell and I attended the board meeting as resource witnesses. The board had no questions for the agency.



The request for financing was presented by TPFA to the Bond Review Board on July 23 for final approval but was tabled pending a request for additional review by Comptroller Hegar. This delay does not threaten funding for the remainder of FY 2015 but could be an issue if approval doesn't occur by August 31. A briefing for Comptroller Hegar is scheduled for August 5.

### Audits

Weaver & Tidwell, our internal auditor, wrapped up the grants management audit and is finalizing the report. The Weaver & Tidwell audit staff were on-sight at the CPRIT office July 27-31, conducting follow-up procedures on the findings identified in the 2014 information technology and governance audits. The audit team will be onsite again the first week in August to perform field work for the expenditure audit. These are all the audits scheduled in the Internal Audit Plan for FY 2015 approved by the Oversight Committee in November 2015.

### Contracts

CPRIT received one response to the competitive Request for Proposals for an Economic Assessment of the Cost of Cancer in Texas which closed on July 17. The sole respondent was The Perryman Group, the incumbent contractor for these economic analysis services from 2010 through 2014.

CPRIT staff has also been working on FY 2016 contract renewals for compliance program support services, business-regulatory due diligence services, legal services, financial audit services, peer review monitoring services, and fraud, waste, and abuse reporting services.

### **Staff Presentations/Meetings/Training**

- Vince Burgess, CPRIT's Chief Compliance Officer, went to Dallas on July 28 with Kristen Doyle, Cameron Eckel, CPRIT staff attorney, and Dan Limas to provide two training sessions at UT Southwestern Medical Center. About 70 people attended, including sponsored program staff at area institutions.
- Dr. Garcia will represent CPRIT on the Texas team at the National "80 by 2018 Forum" September 16 and 17 in Atlanta, Georgia. Texas is one of 11 states selected to attend the Forum which is a collaboration between the Centers for Disease Control and Prevention (CDC), the American Cancer Society (ACS), and the National Cancer Institute (NCI) to offer a training opportunity to state teams to identify and plan opportunities to increase colorectal cancer screening rates.



## Upcoming Standing and Special Oversight Committee-related Meetings

The dates and times for the summer subcommittee meetings are listed below:

Board Governance –	August 6 at 10:00am
Diversity –	August 7 at 10:30am
Audit –	August 10 at 10:00am
Prevention –	August 11 at 10:00am
Scientific Research –	August 12 at 10:00am
Product Development –	August 13 at 10:00am
Nominations –	August 14 at 10:30am

An agenda, call-in information and supporting material will be sent to the subcommittees one week prior to the meeting date. If you or your assistant did not receive a calendar invite from Mary Gerdes for subcommittee meeting dates in August, please contact Mary at [mgerdes@cprit.state.tx.us](mailto:mgerdes@cprit.state.tx.us).

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CPRIT has awarded **908** grants totaling **\$1.329 billion**

- 146 prevention awards totaling \$142.2 million
- 762 academic research and product development research awards totaling \$1.187 billion

Of the \$1.187 billion in academic research and product development awards,

- 33.1% of the funding (\$393.5 million) supports clinical research projects
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- 2.5% of funding (\$29.5 million) supports training programs.

CPRIT has 13 open Requests for Applications (RFAs)

- 10 Academic Research and Recruitment
- 3 Product Development



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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## MEMORANDUM

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**To:** OVERSIGHT COMMITTEE MEMBERS  
**From:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**Subject:** CPRIT ACTIVITIES UPDATE – JUNE 2015  
**Date:** JULY 1, 2015

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Topics in this update include: 84<sup>th</sup> Legislature Wrap Up, Oversight Committee On-Boarding, CPRIT staffing, Compliance Program, Program Updates, Operations (including contracts and audits), Staff Presentations and Meetings, and Subcommittee Meetings.

### **84<sup>th</sup> Texas Legislature Wrap Up**

The legislative session ended June 1. A summary of major legislation affecting CPRIT was sent to the Oversight Committee (OC) on June 2 and is attached to this memo. Subsequent to this successful session, Representative Jim Keffer announced that he will not run for re-election in 2016. This is a disappointment since Mr. Keffer is a major supporter of CPRIT and was key to getting SB 149, the “reform” legislation, approved in 2013.

### **Oversight Committee Member On-Boarding**

On July 6 Kristen Doyle (Deputy Executive Officer & General Counsel), Heidi McConnell (Chief Operating Officer) and I will go to El Paso to provide new OC member orientation to Mr. Dee Margo who was confirmed by the Texas Senate on May 30. This orientation will be similar to that given to all of the other OC members in late 2013 following their appointments.

### **Personnel Changes and Job Openings**

Since the May 20, 2015, Oversight Committee meeting, Dr. Tom Goodman, Chief Product Development Officer, announced his resignation effective June 30. The position was posted on June 19 and distributed via several channels including all 43 of the current product development peer reviewers, the Product Development Advisory Committee established in late 2013, the large directory of individuals registered on our website listserv, the Texas Workforce Commission, and our website. I am particularly optimistic about getting candidates through the peer reviewers and the listserv. We have already received inquiries with announced intentions to apply.

We received Legislative Budget Board approval on June 30 for the Chief Scientific Officer (CSO) search firm contract with Spencer Stuart that had been approved by the OC. The request for approval was made April 20. Due to legislative concern and media reports over contracting at several state agencies, especially the Texas Health & Human Services Commission and the Department of Information Resources, approval delay for contracts such as this may be the new norm. An organizational meeting of the CSO Interview Committee occurred on June 16. My charge to the committee and the process following Spencer Stuart's vetting of candidates were discussed.

The new Chief Compliance Officer, Vince Burgess, started June 15. Vince, who was introduced to the OC at the May 20 meeting, has been immersed in learning CPRIT's administrative rules and procedures and becoming acquainted with his new office staff and the compliance program contractor personnel from CohnReznick.

We have hired two Operations Specialists to work on grants with Lisa Nelson, Operations Manager.

We are posting for a new communications position to conduct and manage the research, writing, and editing of the agency website content in addition to assisting with the writing of health and science content for use in agency publications and reports.

CPRIT currently has 32 authorized full-time equivalent (FTE) positions, of which 27 are filled. In addition to the communications and Chief Product Development Officer positions mentioned above, the three remaining slots are for grant accountants that are posted.

## **Compliance Program**

### CPRIT's Grant Reports Reconciliation Project

CPRIT staff and grantees continue working on the third stage of its three part reconciliation project. CPRIT staff initiated a comprehensive reconciliation project in 2014 to ensure that all grantee reporting data submitted to CPRIT's Grant Management System (CGMS) is correct and current. CPRIT relies upon CGMS to assist with monitoring the number of late or missing grantee reports. Accurate, up-to-date grantee reporting data produces the most reliable CGMS results, which are crucial to CPRIT's compliance monitoring efforts.

CPRIT typically has 530+ grants that are either active or wrapping up grant activities. Grantees submit between 12 – 15 reports each year per grant project. This means that CPRIT grantees should submit approximately 6,400 reports annually. Until the grant reports reconciliation project is complete, the CGMS monitoring reports will not be completely comprehensive.

The three phases of the reconciliation project are:

- The first phase, which was completed in November 2014, focused on financial status reports (FSRs). Over the course of several months, CPRIT grant accounting staff, assisted by the grant compliance specialists, reviewed and approved hundreds of late FSRs and processed \$100+ million in grantee reimbursements. Due to the diligent efforts and support of CPRIT's grant accountants, grant compliance specialists, and program staff, all grantees have maintained up-to-date quarterly FSRs for the subsequent reporting cycles.
- The second phase, which began in December 2014, involves updating and verifying all information related to required matching funds forms. CPRIT staff is currently focusing on matching fund data for active research grants; historical matching fund information on closed grants should be incorporated into CGMS by fall.
- The third phase, started at the end of May and will last through August, focuses on other financial reporting forms (*i.e.*, inventory forms, HUB reports, single audit determination forms, and revenue sharing forms). CPRIT grantees must update and verify all information related to these financial forms. When this phase started, CGMS reported that it was unable to locate more than 1,200 forms in the system. During the first month of the project, grantees submitted more than 600 missing forms.

#### Compliance Program Activities

In addition to the reconciliation project, CPRIT compliance staff monitors the status of grantee reports that are currently due. A summary of missing reports is produced by CGMS every week; this is the primary source used by CPRIT's compliance staff to follow up with grantees.

As of the most recent CGMS report (June 25, 2015), 58 required grantee reports from 11 institutions, organizations, and companies have not been filed in the system by the set due date. (These figures do not include the reports included in the reconciliation project discussed above.) In most cases, CPRIT does not disburse grant funds until the required reports are filed. In some instances, grantee institutions may be ineligible to receive a future award if required reports are not submitted.

CPRIT's grant compliance specialists and the grant accountants have continued reviewing and processing incoming reports and reaching out to grantees to expeditiously resolve filing issues. As a result, significant progress has been made over the past year in identifying and processing past due reports.

CPRIT compliance staff have been working with staff from CohnReznick, CPRIT's third-party contractor providing compliance services, since late April. The combined compliance team has standardized forms and processes for desk reviews and on-site visits to grantees. Cohn Reznick is also preparing a risk assessment for FY 2016 that will help the compliance team plan resources for the next year. The risk assessment is expected to be presented to the Audit Subcommittee in July.

## **Scientific Research Program Update**

### Research Grants

Research Applications 16.1. The latest round of Requests for Applications (RFAs) closed on May 20, 2015. In response, we received 13 applications for new and renewal Research Training Awards, 351 applications for untargeted Individual Investigator Research Awards (IIRAs), 45 applications for targeted IIRAs for Childhood and Adolescent Cancers, 45 applications for IIRAs targeted to Prevention and Early Detection, and 50 targeted IIRAs for Computational Biology. After administrative review, five applications were determined to have been improperly submitted and were administratively rejected. One applicant submitted two applications and has withdrawn one. The total number of applications after administrative review is 498. These 498 applications have been sent to the peer review panels and will be discussed at the panel meetings to be held in Dallas between September 28 and October 7, 2015.

Research Applications 16.2. We expect to release RFAs for High Impact High Risk Grants, Core Facilities Support Awards, and Multi-Investigator Research Awards on July 6, 2015. These will constitute the second and final cycle of awards for FY 2016.

Recruitment Applications. The Scientific Review Council (SRC) considered 8 recruitment applications on May 14, 2015. They recommended grants be approved for one Recruitment of Established Investigator (REI) and 4 Recruitment of First-Time Tenure-Track Faculty (RFT) Awards. Subsequent to the review, two RFT applicants withdrew their applications and will not move forward. One applicant has preliminarily accepted the position offered by the applicant institution pending the outcome of the August OC meeting. The two other potential candidates have not yet accepted positions pending OC action in August. The total amount of the proposed grants is \$11 million. These award recommendations will be presented on August 19 for OC approval.

The SRC met again on June 11, 2015, to discuss 10 recruitment applications submitted after the May SRC meeting. They approved one Recruitment of Established Investigator (REI) and 4 Recruitment of First-Time Tenure-Track Faculty (RFT) awards. All 5 recruitment applicants

have preliminarily accepted pending the outcome of the August OC meeting. The total amount of the proposed grants is \$14 million. These award recommendations also will be presented on August 19 for OC approval.

The SRC next meets on July 16 to review another 7 applications (2 Rising Stars and 5 First Time Tenure Track) submitted after the June meeting. Applications recommended for grant awards in July and any additional applications reviewed by the SRC before August 31, 2015, will be presented at the special OC meeting for action on September 10, 2015.

#### Advisory Committee on Childhood Cancer

This committee met by conference call on June 15, 2015, under the leadership of its new Chair, Dr. Susan Blaney. Dr. Blaney asked for nominations for a Vice Chair and Secretary of the committee to be sent to her by email.

Dr. Kripke reviewed the results of the last round of funded grants. Committee members requested another Core Facilities Support Award (CFSA) be offered in the next round and that the limitation on one application per institution be expanded for institutions requesting an award to support pediatric research. As a result of this discussion, the CFSA will be offered again in cycle 16.2, which opens July 6, 2015, and a provision was inserted into the RFA allowing institutions to submit two applications, provided one of them is a core facility supporting research in pediatric and/or adolescent cancers. The committee plans to hold an in-person meeting during the CPRIT biennial conference in November. They will also begin collecting a library of “success stories” about the value of CPRIT funding in addressing cancer in children and adolescents.

### **Product Development Program Update**

#### Product Development Research Grants

Contracts have been executed with Beta Cat Pharmaceuticals, AERase, Inc., Curtana Pharmaceuticals, Armada Pharmaceuticals, Immatics US Inc., and NanoTx Therapeutics.

A contract is expected to be executed this week with Rosellini Scientific, to be renamed Nuviant Medical Inc.

Contracts are expected to be executed with Medicenna Therapeutics, OncoNano Medicine, and Vermillion once the companies resolve pre-contract issues raised during the review process.

### Due Diligence – Cycle 15.4

The Product Development Research peer review panel recommended three Product Development Research applications for due diligence in April. Intellectual property and business due diligence is ongoing. The Product Development Research Review Council will consider the due diligence reports and make award recommendations to the Program Integration Committee and the OC at its meeting on November 18.

### Request for Applications – Cycle 16.1

Three RFAs (for new, established, and relocating companies) will be released on July 6. Applications may be submitted beginning August 3 through September 16, 2015. Applications recommended for awards are expected to be considered at the May 2016 OC meeting.

### **Prevention Program Update**

- FY 2015 Review Cycle 2: The Oversight Committee approved 11 new grants on May 20. Staff scheduled calls with all new grantees to discuss their projects and any budget issues prior to finalizing the contracts.
- FY 2016 Review Cycle 1: We revised and released 5 RFAs in April, one of which is new. The new RFA is “Dissemination of CPRIT-funded Cancer Control Initiatives.” Other changes to the RFAs include the addition of the approved program priorities and changes to the areas of emphasis to include screening for Hepatitis B and C for the prevention of liver cancer. Applications are due July 9.
- A webinar to discuss the FY 2016 Cycle 1 funding opportunities was held June 3; 99 people registered for the webinar.
- Grantee quarterly and annual progress reports were submitted on June 15 and are being reviewed.
- A conference call with the Prevention Review Council was held on June 26 to discuss the upcoming review cycle and future RFAs.
- Staff are exploring how to effectively collect data from grantees on county of residence for people served. A survey of grantees will be the first step. Until the current online reporting system is redesigned to collect this new information, data will be collected manually.

## Communications Update

- *Innovations in Cancer Prevention and Research IV Conference*: A “Call for Abstracts” was announced on May 12 with a deadline for submission of abstracts of July 31. A reminder encouraging all grantees to submit abstracts was sent by each program officer. The registration system should open by the second week in July. The majority of speakers for the conference are now confirmed.
- An announcement was released June 16 notifying the press that CPRIT’s Prevention Program had achieved a significant milestone of over 2 million services delivered. The press release included a link to videos of Texans who received some of these services. <http://www.cprit.state.tx.us/prevention/stories/>
- A new *Achievements Report* with updates following the May 20 Oversight Committee meeting was produced and is posted on the CPRIT website.
- CPRIT’s current website was designed in 2009. We have begun discussions on updating and/or redesigning all of its features, functionality and content. A Request for Proposals will be developed to procure the services of a vendor for site redesign. This project should improve documentation of CPRIT’s achievements and success and provide information on and transparency into our review process and agency operations.
- Closed Grants Outcome Report: CPRIT grantees whose projects have closed will be asked to complete a survey briefly describing the outcome and significance of their CPRIT funded work. This is in addition to the final project report they submitted. The services of a medical writer will be sought to edit and compile this information.

## Operations and Finance (Contracts, RFPs, Audit)

On June 7, the Texas Public Finance Authority Board approved CPRIT’s request for financing of \$300 million in general obligation debt for FY 2016. Heidi McConnell and I attended the board meeting as resource witnesses. The board had no questions for the agency. The request for financing now moves forward to the Bond Review Board to be considered at their July 23<sup>rd</sup> meeting for final approval.

Staff from CPRIT’s new internal auditor, Weaver & Tidwell, was in the CPRIT office June 16-26 conducting field work for the grants management audit. The audit team will be onsite again in mid-July to follow up on prior audit findings in the governance and information technology audits as well as in early August to perform field work for the expenditure audit. These are all



the audits scheduled in the Internal Audit Plan for FY 2015 approved by the Oversight Committee in November 2014.

A competitive Request for Proposals for an Economic Assessment of the Cost of Cancer in Texas was posted on June 22 and closes on July 17. The resulting contract will cover the economic analysis necessary to produce the annual cost of cancer and other indicators measuring CPRIT's economic impact in Texas. CPRIT contracted with The Perryman Group for five years to perform this analysis. That contract with all of its renewals expired in 2014.

### **Staff Presentations/Meetings/Training**

- Wayne Roberts participated in an Oncology Investors panel on June 8 at the Redefining Early Stage Investing (RESI) conference in Houston. The conference was presented by Life Science Nation, Johnson & Johnson Innovation (JLabs) and the Texas Medical Center. Dr. Goodman attended and promoted CPRIT activities during a series of meetings with companies interested in pursuing CPRIT funding opportunities.

### **Standing and Special Oversight Committee-related Meetings in July and August**

The dates and times for the summer subcommittee meetings are listed below:

Audit –	July 23 at 9:00am
Board Governance –	August 6 at 10:00am
Diversity –	August 7 at 10:30am
Audit –	August 10 at 10:00am
Prevention –	August 11 at 10:00am
Scientific Research –	August 12 at 10:00am
Product Development –	August 13 at 10:00am
Nominations –	August 14 at 10:30am

An agenda, call-in information and supporting material will be sent to the subcommittees one week prior to the meeting date. If you or your assistant did not receive a calendar invite from Mary Gerdes for subcommittee meeting dates in August, please contact Mary at [mgerdes@cpritch.state.tx.us](mailto:mgerdes@cpritch.state.tx.us).

The Program Integration Committee is currently scheduled to meet at 10:00am on August 4 in the CPRIT staff offices. However, this date may change due to scheduling conflicts.

The Oversight Committee is scheduled to meet August 19 at 10:00am in the Capitol Extension. A special Oversight Committee meeting is set for 1:00pm on September 10 in the Capitol Extension.

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CPRIT has 8 open Requests for Applications (RFAs)

- 3 Research Recruitment
- 5 Prevention





CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**  
**From: WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: 84<sup>TH</sup> TEXAS LEGISLATURE SUMMARY WRAP UP**  
**Date: JUNE 2, 2015**

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**SUMMARY**

The 84<sup>th</sup> Texas Legislature concluded on June 1. Although CPRIT did not get everything on its “wish list”, this was a successful session. CPRIT will be fully funded in the 2016-17 biennium, will have authority to transfer unexpended balances from FY 2015 to 2016, and the dollar amount of contracts requiring approval by the Legislative Budget Board (LBB) was increased. No legislation identified as of this writing was forwarded to the Governor for his approval that negatively impacts CPRIT.

The session provided many opportunities to solidify existing legislator relationships and establish new ones. On many occasions, often in public, CPRIT was praised for addressing the concerns from 2012 and 2013 by expeditiously implementing the State Auditor’s January 2013 management report and Senate Bill 149 from the 83<sup>rd</sup> Legislature, R.S. The Oversight Committee’s engagement was identified as key to reestablishing CPRIT’s reputation in the Legislature. CPRIT has many strong friends in the Legislature, among the advocates, and our grantee community. Though gratifying, this support reaffirms CPRIT’s need to adhere to our processes, document that adherence, and to address our constitutional mission in a transparent and responsible manner.

**DETAILS**

The following summarizes action on CPRIT’s budget requests and other issues that developed during the 84<sup>th</sup> Texas Legislature.

State Budget

- Most importantly, CPRIT will get funding for our full constitutional authorization of \$300 million per year in general obligation bonds. The debt service is provided to the Texas Public Finance Authority which issues the debt on CPRIT’s behalf. The debt service is not inconsequential--\$189.3 million in FY 2016-17.
- We requested restoring a rider authorizing carryforward of funds from the FY 2014-15 biennium to FY 2016-17. Such authority had been removed in FY 2014-15 due to the

problems of 2012 and 2013. This authority was restored and will allow efficient use of available funding for grant awards.

- We requested removal of the rider requiring LBB approval of all contracts in excess of \$100,000. This restriction was placed in the 2014-15 budget due to CPRIT's problems in 2012 and 2013. From the onset I felt that if the initial LBB recommendations did not remove this rider, the request would be dropped from formal presentations moving forward. If Senator Nelson (Chair of the Senate Committee on Finance and a member of the LBB) was comfortable with removing the rider she'd do it. If not, I didn't want to press for it after she signaled her position. Furthermore, after major state contracting issues developed at the Texas Health & Human Services Commission, the HHSC Office of Inspector General, and the Department of Information Resources statewide contracting reform was imminent (see SB 20 below) it was clear that this was not the year to request oversight exemption. The rider remains, but the cap is lifted to \$250,000, which provides significant relief.
- We requested exempting the CPRIT Interest & Sinking (I&S) Fund from funds consolidation. Exemption was not approved. This is an arcane issue. The I&S account was created by law in 2013. However, unless a new fund is concurrently exempted from funds consolidation in a separate bill than its deposits go to general revenue for use on any state program.<sup>1</sup> It was not exempted for FY 2014-15; therefore revenue received in FY 2014-15 from grant awards (primarily product development research but some academic research) goes to general revenue. Had the fund been exempted, the revenue could only be used to pay debt service on CPRIT bonds at the Legislature's discretion. The exemption was not provided for FY 2016-17 so our revenue will still go to general revenue.
- Initially we requested authorization for any bond premiums earned above the bond proceed amounts listed in the general appropriations act be appropriated to CPRIT to pay the costs of issuing the bonds. Otherwise, bond issuance costs must be paid from bond proceeds which reduce the amount of proceeds available for cancer research and prevention grant awards.<sup>2</sup> When this authority was not provided in the introduced budget we dropped this from our formal budget request presentations.

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<sup>1</sup> Funds consolidation as a state cash management tool began in the late 1980s to maximize the amount of general revenue-related funds available to certify the general appropriations act. Prior to funds consolidation, hundreds of separate dedicated funds received deposits from specific activities that could be spent only on those activities. As a result deposits to these funds could not be used for certification. Some inter-fund borrowing occurred but was insufficient to make full use of dedicated balances. "Funds consolidation" created *accounts* within the General Revenue Fund 001 for dedicated purposes. However, unless exempted from funds consolidation each biennium, they are cancelled and the related deposits go to Fund 001 for general use and to certify the amounts available for the state budget. If the CPRIT I&S Fund were authorized, deposits to it would still go to an account within Fund 001 but could not be used to certify the state budget or spent on any purpose other than retirement of CPRIT debt.

<sup>2</sup> A premium is the additional price a buyer will pay for the bond due to current prevailing interest rates being below those of the bond. This is in contrast to a discount which is a lower price the buyer will pay due to current prevailing interest rates being above those of the bond.

- Initially we requested revision of the transfer authority rider to allow CPRIT's chief executive officer to report appropriation transfers allowed to all state agencies within the limitations of Article IX, Section 14.01 of the General Appropriations Act. This request was not granted. Eliminating this requirement for the LBB to approve line item transfers would have maximized operational efficiency while providing transparency about CPRIT's actions. However, for the same reason as the contract approval requirement noted above, since the initial LBB recommendations did not grant this request it was dropped. Furthermore, the appropriation line items are more accurately portrayed than they were in 2014-15 thereby decreasing the need for transfers.

### Other Legislation of Interest

CPRIT did not request any changes to its enabling statute. However, some bills were filed that would have affected our current mandate or operations.

- Senate Bill 197 by Schwertner—as filed required CPRIT to develop a plan for self-sufficiency without state funds after FY 2021. Was amended by the author to allow income from grants, ostensibly product development research. Passed out of House Committee on Public Health but died on two points of order on the House floor.
- House Bill 1282 by Zerwas—as filed required the Department of State Health Services (DSHS) to develop a strategic plan to significantly reduce morbidity and mortality from human papillomavirus-associated cancer. DSHS was instructed to collaborate with CPRIT. The bill passed the House but was referred to the Senate Committee on Health & Human Services where it died without a hearing. Similar language was attached to the Sunset Bill for the Texas Health & Human Services Commission (SB 200, Section 2.32) and was adopted. However, the plan is now to be developed by HHSC in collaboration with DSHS and CPRIT.
- House Bill 4062 by Coleman—as substituted in the House Committee on Public Health would have increased the cap on the amount of grant awards to direct prevention activities from 10 to 20 percent. Passed the House and referred to the Senate Committee on Finance where it died without a hearing.
- House Bill 1952 by Springer—as filed would have ended the product development research program. Heard in the House Committee on Public Health but was not reported out of committee.
- House Bill 1295 by Capriglione—as filed was not targeted at CPRIT but related to a requirement that all governmental entities disclose certain information about people involved in government contracts. The bill passed the House but on May 25 was amended on the Senate Floor by Senator Hancock to require contracts between state agencies and institutions of higher education disclose all data behind conclusions and recommendations resulting from contracts. This would have required CPRIT and institutions of higher education to release proprietary information and thereby would be

detrimental to CPRIT's academic research program. After considerable effort and participation the bill was modified at conference to address our concerns.

- House Bill 3123 by Price—this is the bill that sets and/or adjusts the schedule under which state agencies undergo Sunset Review. CPRIT is scheduled to undergo this review in the 2021 legislative session. For several reasons, primarily the reduced amount of bond proceeds appropriated in the FY 2010-11 biennium (\$450 million) and the moratorium year of 2013, CPRIT will not be able to exhaust its full \$3 billion bonding authorization by the end of FY 2021. I made this observation to Senator Nelson's staff in January and she decided to extend our sunset date to 2023 instead of waiting until a future session. We were unaware of this change until May 31, the day the conference committee report on HB 3123 was heard in both houses. Unfortunately the bill was voted down due to concerns about agencies other than CPRIT.

#### State Contracting Issues and Other Mandates

Senate Bill 20 by Nelson made numerous changes to state agency contracting procedures. The impact of SB 20 and other legislation on CPRIT's operations is still being assessed and will be reported at a later date.

#### Gubernatorial Appointee

Mr. Dee Margo of El Paso was appointed by Governor Abbott to the CPRIT Oversight Committee on May 11, 2015, for a term ending January 31, 2021. Mr. Margo replaces Mr. Gerry Geistweidt of Mason whose term expired January 31, 2015. Mr. Margo was confirmed by the Senate on May 30, 2015, assuming his board position at that time.

**CPRIT MANAGEMENT DASHBOARD  
FISCAL YEAR 2015**

	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	CUMULATIVE (ANNUAL)	CUMULATIVE (YTD)
<b>ACCOUNTABILITY</b>														
Announced Grant Awards			32			58		2	4				96	
New Grant Contracts Signed	11	14	47	19	21	8	14	18	40	13	22		227	
New Grant Contracts In Negotiation			26			45			2				73	
Grant Reimbursements Processed (#)	2	434	0	11	109	43	30	512	94	87	75		1397	
Grant Reimbursements Processed (\$)	\$ 3,919,524	\$ 30,454,155	\$ -	\$ 2,501,374	\$ 10,721,494	\$ 3,217,173	\$ 3,528,675	\$ 39,082,905	\$ 5,898,037	\$ 7,717,815	\$ 29,372,499		\$ 136,413,651	
Revenue Sharing Payments Received	\$ 1,000	\$ -	\$ -	\$ 7,456	\$ 6,208	\$ 10,241	\$ -	\$ 4,500	\$ 8,041	\$ -	\$ 1,000		\$ 38,446	\$ 2,205,188
Total Grants Contracted (\$)	\$ 8,316,567	\$ 21,311,777	\$43,594,810	\$ 14,713,321	\$ 23,311,979	\$ 11,979,280	\$ 24,396,331	\$ 23,877,607	\$ 73,478,836	\$ 75,095,047	\$ 32,309,974		\$ 352,385,529	
Grants Awarded (#)/ Applications Rec'd (#)	12%	12%	12%	12%	12%	13%	13%	13%	12%	12%	12%			
Debt Issued (\$)/Funding Awarded (\$)	51%	51%	53%	53%	53%	49%	49%	58%	54%	60%	60%			
Grantee Compliance Trainings/Monitoring Visits	1	1	0	0	2	2	2	6	1	3	2		20	
Awards with Delinquent Reimbursement Submission (FSR)						9			1					
Awards with Delinquent Matching Funds Verification			16			2			68					
Awards with Delinquent Progress Report Submission			10			14			4					
IA Agency Operational Recommendations Implemented	2	3	6	6	7	8	8	8	8	8	8			
IA Agency Operational Recommendations In Progress	13	12	9	9	8	7	7	7	7	7	7			
IA Grantee Recommendations Implemented	0	1	1	1	1	1	1	1	1	1	1			
IA Grantee Recommendations In Progress	20	19	19	19	19	19	19	19	19	19	19			
Open RFAs	7	13	10	10	6	11	8	13	13	8	8			
Prevention Applications Received	0	0	0	35	0	0	0	0	0	0	0		35	540
Product Development Applications Received	0	0	0	0	0	16	0	0	0	0	0		16	268
Research Applications Received	10	0	161	2	4	4	12	9	514	7	5		728	4,511
Help Desk Calls/Emails	230	240	210	184	149	171	144	217	371	192	186		2,294	
<b>MISSION</b>														
<b>RESEARCH PROGRAM</b>														
Number of Research Grants Awarded (Annual)			7			54		2	4				67	
Recruited Scientists Announced														84
Recruited Scientists Accepted														88
Recruited Scientists Contracted														80



**CPRIT MANAGEMENT DASHBOARD  
FISCAL YEAR 2015**

	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	CUMULATIVE (ANNUAL)	CUMULATIVE (YTD)
Published Articles on CPRIT-Funded Projects (#)													0	
Jobs Created & Maintained (#)													0	
Trainees in CPRIT-Funded Training Programs (#)													0	
Open Clinical Trials (#)														53
Number of Patents Resulting from Research													0	
Number of Patent Applications													0	
Number of Investigational New Drugs													0	
<b>PRODUCT DEVELOPMENT PROGRAM</b>														
Number of Product Development Grant Awarded			20			4			2				26	
Life Science Companies Recruited (in TX)														2
Published Articles on CPRIT-Funded Projects													0	
Number of Jobs Created & Maintained													0	
Open Clinical Trials (#)														7
Number of Patents Resulting from Research													0	
Number of Patent Applications													0	
Number of Investigational New Drugs													0	
<b>PREVENTION PROGRAM</b>														
Number of Prevention Grant Awarded (Annual)			5			0			0				5	
People Served by CPRIT-Funded Prevention and Control Activities			178,669			165,145			175,123				518,937	
People Served through CPRIT-Funded Education and Training			46,399			42,535			48,268				137,202	
People Served through CPRIT-Funded Clinical Services			132,270			122,610			126,855				381,735	
<b>TRANSPARENCY</b>														
Total Website Hits (Sessions)	6,610	7,275	8,202	5,101	5,844	9,735	7,612	8,525	9,515	6,093	7,320		81,832	
Total Unique Visitors to Website (Users)	4,811	5,143	5,628	3,852	4,195	6,625	5,420	5,983	6,228	4,440	5,062		57,387	



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** MARGARET KRIPKE, PH.D., CHIEF SCIENTIFIC OFFICER  
**SUBJECT:** UPDATE OF ACADEMIC RESEARCH ACTIVITIES  
**DATE:** AUGUST 12, 2015

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16.1 Academic Research Applications

Applications submitted in response to latest round of RFAs that closed on May 20, 2015 are currently under review by the peer review panels. The programs include untargeted Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Computational Biology (IIRACB), Individual Investigator Research Awards for Cancers in Childhood and Adolescents (IIRACCA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP), and Research Training Awards (RTA). These applications will be discussed at the panel meetings to be held in Dallas between September 28 and October 7, 2015. Recommended applications will be presented at the November Oversight Committee meeting for approval.

16.2 Academic Research Request for Applications

RFAs for High Impact High Risk Grants (HIHR), Core Facilities Support Awards (CFSA), and Multi-Investigator Research Awards (MIRA) were released on July, 6, 2015. These will constitute the second and final cycle of awards for FY16. The CPRIT Application Receipt System opens on August 11<sup>th</sup> and applications are due October 13<sup>th</sup>. These applications will be reviewed during the winter and discussed at the March 9-16, 2016 peer review meetings. Recommended applications will be presented at the May 2016 Oversight Committee meeting for approval.

17.1 Academic Research Request for Applications

A RFA for Core Facilities Support Awards for Competitive Renewals for current grantees whose funding expires November 2016 was released on July, 6, 2015. The CPRIT Application Receipt System opens on August 11<sup>th</sup> and applications are due October 13<sup>th</sup>. These applications will be reviewed during the winter and discussed at the March 2016 peer review meetings. These grants will not be recommended for approval until November 2016 Oversight Committee meeting. In order to prevent a gap in funding for these highly successful projects, the RFA release and peer review had to be done at this time.

### Recruitment Applications

The Scientific Review Council (SRC) met on July 16, 2015 to discuss six recruitment applications. The SRC favorably reviewed two Recruitment of Rising Stars (RRS) and one Recruitment of First-Time Tenure-Track Faculty (RFT) Awards, and will make a formal recommendation for funding on September 1<sup>st</sup>. These applications will come to the special September 10<sup>th</sup> Oversight Committee meeting for approval. The total amount of the grants is \$9.7M.

The SRC met on August 13, 2015 to discuss five other applications (1 Recruitment of Established Investigator, 3 Recruitment of Rising Stars and 1 Recruitment of First Time Tenure Track Faculty). The SRC will make a formal recommendation for funding on September 1st. These will come to the special September 10<sup>th</sup> OC meeting for approval.

### Scientific Research Subcommittee

The Scientific Research Subcommittee of the Oversight Committee met on August 12, 2015. Staff gave the subcommittee a status report on current academic research and recruitment awards. Additionally, the subcommittee discussed advisory committee activities, the upcoming CPRIT conference, and peer review nominations. The subcommittee also discussed program funding priorities for the agency in preparation for the discussion at the August Oversight Committee meeting.

### Multi-Investigator Research Award (MIRA) Information Session

Staff conducted an information session on Wednesday, August 12<sup>th</sup> at The University of Texas M.D. Anderson Cancer Center to discuss the MIRA program. This session was being conducted in response to a request from the institution and PIs so that they could better understand the MIRA program and what CPRIT requires in a successful application. The session was open to any institution within the state that wanted to participate via web streaming.

### Other Outreach

Dr. Kripke attended a reception for major donors to the North Texas Chapter of the American Cancer Society to discuss new directions in cancer research.

### Historical Recruitment Statistics by FY, Quarter, Number, and Award Amount

	Q1 (Sept-Nov)		Q2 (Dec-Feb)		Q3 (Mar-May)		Q4 (Jun-Aug)		FY Total	
	#	\$	#	\$	#	\$	#	\$	#	\$
FY10	1	\$2,000,000	1	\$1,999,705	0	\$0	7	\$16,000,000	9	\$19,999,705
FY11	1	\$2,000,000	1	\$2,000,000	4	\$8,000,000	13	\$50,881,402	19	\$62,881,402
FY12	5	\$26,000,000	2	\$2,900,000	1	\$2,000,000	14	\$38,892,800	22	\$69,792,800
FY13	6	\$16,446,750	0	\$0	0	\$0	0	\$0	6	\$16,446,750
FY14	0	\$0	3	\$6,000,000	11	\$30,339,259	7	\$20,000,000	18	\$56,339,259
FY15	3	\$10,000,000	3	\$6,000,000	5	\$12,000,000	7**	\$23,000,000	18	\$51,000,000
Total	16	\$56,446,750	7	\$12,899,705	17	\$52,339,259	52	\$153,774,202	95	\$275,459,916



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## CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

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### MEMORANDUM

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** KRISTEN P. DOYLE, GENERAL COUNSEL, INTERIM PRODUCT  
DEVELOPMENT OFFICER  
**SUBJECT:** PRODUCT DEVELOPMENT UPDATE  
**DATE:** AUGUST 11, 2015

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#### Award Contracts

Four product development grant contracts for projects approved in 2014 and 2015 have not yet been executed. Three contracts (OncoNano Medicine, Inc., Medicenna Therapeutics, Inc., and Vermillion, Inc.) were pending awaiting resolution of issues identified in the IP due diligence reports. The Product Development Review Council has reviewed the updated information for OncoNano and Medicenna and found it to be consistent with the recommendations made in the IP reports. Vermillion expects to submit information shortly. CPRIT will amend the contracts as necessary and move forward with execution.

The fourth contract, with Mirna Therapeutics, Inc., has been the subject of protracted negotiations involving revenue sharing terms. CPRIT and Mirna are negotiating an agreement and expect the contract to be executed by August 31. Because the contract will include revenue sharing terms that are different than those previously approved by the Oversight Committee, approval of the contract will be an action item at the August 19 Oversight Committee meeting. You will be provided more information on the negotiations and proposed terms prior to the meeting.

#### Due Diligence – Cycle 15.4

The Product Development Research peer review panel recommended three Product Development Research applications for due diligence in April. Intellectual property and business due diligence is ongoing. The Product Development Research Review Council will consider the due diligence reports and make award recommendations to the Program Integration Committee and the Oversight Committee at its meeting on November 18.

### Request for Applications (RFAs) – Cycle 16.1

Three RFAs (for new, established, and relocating companies) were released on July 6. Applicants may submit proposals August 3 through September 16, 2015. Applications recommended for awards are expected to be considered at the May 2016 Oversight Committee meeting.

### Resubmission Policy Change

The Product Development Review Council (PDRC) proposed a change to the product development application resubmission policy. Previously, an applicant for a product development grant was permitted to resubmit their application only one time after it was initially rejected. However, recognizing that companies may make substantial progress that addresses previous concerns of the review panels, the PDRC agreed that applicants may reapply as a “new” submission if two years have passed from their last re-submission. This policy is effective for applications submitted in response to the open Request for Applications (Cycle 16.1).

### Chief Product Development Officer Candidates

The Chief Product Development job position was posted for six weeks. CPRIT received ten applications as of the time August 3, 2015, when the posting closed. CPRIT staff will screen the applications for required qualifications. Preliminary interviews are expected to start after August 19.

### CPRIT’s 2015 Biannual Innovations Conference

Wayne and I have been working on creating the panel topics and recruiting speakers for the Product Development Program track at CPRIT’s 2015 Biannual Innovations Conference to be held in Austin on November 9 – 10. We have been fortunate to be assisted by several members of the Texas life sciences community who are excited about the opportunity to showcase the work that CPRIT and oncology companies are doing in Texas. As of today, we are planning on five segments dedicated to Product Development issues. These include:

- Elements of a Successful Product Development Application
- Resources for Texas BioScience Companies – Part I - Incubators
- Resources for Texas BioScience Companies – Part II – Investors
- University and Early Stage Company Alliances
- CPRIT Companies in Action (1.5 hours)

**Product Development 14.1-15.4 Program Priorities/Cancer Site/Success Rate by Mechanism**

Program Priority Area	FY14.1					FY15.1					FY15.4			
	# reviewed for DD/funded	%	\$ requested/ granted	%		# reviewed for DD/funded	%	\$ requested	%		# reviewed for DD/funded	%	\$ requested	%
Impact and Return on Investment	4	100%	\$58,533,944	100%		0	0%	\$0	0		NOTE: The Program Priorities are determined by the PDRC after the completion of the due diligence process. Next update will occur at the November OC meeting.			
Geographic Distribution	0	0%	\$0	0%		0	0%	\$0	0					
Cancer Type	0	0%	\$0	0%		0	0%	\$0	0%					
Type of Program	0	0%	\$0	0%		0	0%	\$0	0					
Identifying and funding projects to develop tools and technologies of special relevance to cancer research, treatment, and prevention*	0	0%	\$0	0%		2	25%	\$2,967,000	3%					
Providing funding that promotes translation of research at Texas institutions into new companies able to compete in the marketplace*	0	0%	\$0	0%		0	0%	\$0	0					
Funding projects at Texas companies and relocating companies that are most likely to bring important products to the market*	0	0%	\$0	0%		7	78%	\$94,315,271	97%					

\*These are the new program priorities as Note: Product Development grants may focus on more than program priority area

Program Cancer Area	FY14.1					FY15.1					FY15.4			
	#	%	\$	%		#	%	\$	%		#	%	\$	%
All Cancers											1	33%	\$31,437,080	57%
Bladder						1	11%	\$967,000	1%					
Brain and other Nervous System	1	25%	\$7,580,185	13%		2	22%	\$16,140,900	17%					
Breast						1	11%	\$12,750,000	13%					
Head and Neck						1	11%	\$22,127,423	23%					
Leukemia											1	33%	\$20,000,000	36%
Liver and Bile Duct	1	25%	\$25,147,614	43%										
Lung						1	11%	\$5,330,000	5%		1	33%	\$4,004,250	7%
Melanoma	2	50%	\$25,806,145	44%										
Ovarian						2	22%	\$20,347,773	21%					
Pancreas						1	11%	\$19,652,175	20%					
TOTALS	4	100%	\$58,533,944	100%		9	100%	\$97,315,271	100%		3	100%		100%

14.1 Success Rate by Mechanism (Recommended/Total Reviewed)						
	Recommended for Onsite Meeting		Recommended for DD		Recommended to PIC	
	Success Rate		Success Rate		Success Rate	
Mechanism	#	%	#	%	#	%
ESTCO	8/9	89%	2/9	22%	2/9	22%
NEWCO	9/26	35%	2/26	8%	2/26	8%
RELCO	2/6	33%	0/6	0%	0/6	0%
Overall	19/41	46%	4/41	10%	4/41	10%

15.1 Success Rate by Mechanism (Recommended/Total Reviewed)						
	Recommended for Onsite Meeting		Recommended for DD		Recommended to PIC	
	Success Rate		Success Rate		Success Rate	
Mechanism	#	%	#	%	#	%
ESTCO	3/5	60%	1/5	20%	1/5	20%
NEWCO	11/18	61%	7/18	39%	6/17*	35%
RELCO	3/6	50%	1/6	17%	0/6	0%
Overall	17/29	59%	9/29	31%	7/29	24%

15.4 Success Rate by Mechanism (Recommended/Total Reviewed)						
	Recommended for Onsite Meeting		Recommended for DD		Recommended to PIC	
	Success Rate		Success Rate		Success Rate	
Mechanism	#	%	#	%	#	%
ESTCO	1/1	100%	0/1	0%	N/A	N/A
NEWCO	8/10	80%	2/10	20%	N/A	N/A
RELCO	1/5	20%	1/5	20%	N/A	N/A
Overall	10/16	63%	3/16	20%	N/A	N/A

\*One application was withdrawn after the peer review meeting

Out of State Applications by Cycle								
14.1			15.1			15.4		
Total Applied	Out of State Applied	Out of State Funded	Total Applied	Out of State Applied	Out of State Funded	Total Applied	Out of State Applied	Out of State Recommended for DD
41	17	1	29	17	3	16	8	3







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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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<b>TO:</b>	OVERSIGHT COMMITTEE MEMBERS
<b>FROM:</b>	NED HOLMES, NOMINATIONS SUBCOMMITTEE CHAIR
<b>SUBJECT:</b>	INTENTION TO RECOMMEND APPROVAL OF SLATE OF OFFICER CANDIDATES
<b>DATE:</b>	AUGUST 14, 2015

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**Summary and Recommendation:**

The Nominations Subcommittee intends to present the following slate of officer candidates for approval by the Oversight Committee: Pete Geren, Presiding Officer (Chair), Will Montgomery, Assistant Presiding Officer (Vice Chair), and Amy Mitchell, Secretary. The Oversight Committee must vote to approve the slate of officer candidates at its meeting on August 19, 2015.

**Discussion:**

Texas Health and Safety Code § 102.104 requires the Oversight Committee to elect a presiding officer and assistant presiding officer from among its members every two years. Although the Oversight Committee may elect additional officers, the presiding officer and assistant presiding officer may not serve in the position to which the officer was elected for two consecutive terms. CPRIT's Bylaws set the officer election at the last regular meeting of the state fiscal year in each odd-numbered year.

The Bylaws were amended at the May 20, 2015, Oversight Committee meeting to provide that the Nominations Subcommittee may recommend candidates for the Oversight Committee's consideration. The Nominations Subcommittee, working with Dr. Rice, the outgoing Oversight Committee presiding officer, has identified qualified members that are willing to serve in CPRIT's three officer positions: Pete Geren, Presiding Officer (Chair), Will Montgomery, Assistant Presiding Officer (Vice Chair), and Amy Mitchell, Secretary. The Nominations Subcommittee recommends Oversight Committee approval of the slate of candidates.





CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** NED HOLMES, NOMINATIONS SUBCOMMITTEE CHAIR  
**SUBJECT:** INTENTION TO RECOMMEND APPROVAL OF APPOINTMENTS  
TO THE SCIENTIFIC RESEARCH AND PREVENTION PROGRAMS  
COMMITTEE  
**DATE:** AUGUST 14, 2015

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**Summary and Recommendation:**

The Chief Executive Officer has appointed 12 experts to the CPRIT's Scientific Research and Prevention Programs Committee; three appointments are to the Prevention Program review panels and nine appointments are to Academic Research Program review panels. CPRIT's statute requires the appointments be approved by the Oversight Committee. The Nominations Subcommittee discussed the appointments at its meeting on August 14, 2015, and recommends that the Oversight Committee vote to approve the appointments.

**Discussion:**

Scientific Research and Prevention Programs committee members (also referred to as "peer reviewers") are responsible for reviewing grant applications and recommending grant awards for meritorious projects addressing cancer prevention and research, including product development research. Peer reviewers perform an important role for the state; all CPRIT grant awards must first be recommended by a Scientific Research and Prevention Programs committee. Individuals appointed to serve as CPRIT's Scientific Research and Prevention Programs committee members must be exceptionally qualified, highly respected, well-established members of the cancer research, product development research, and prevention communities.

Texas Health and Safety Code Section 102.151(a) directs the Chief Executive Officer to appoint members to the Scientific Research and Prevention Programs committees. The CEO's appointments are final once approved by a simple majority of the Oversight Committee. The Nominations Subcommittee charter assigns the subcommittee with the responsibility "to circulate to Oversight Committee members in advance of a public meeting written notification of the committee's intent to make the nomination, along with such information about the nominee as may be relevant."

The Nominations Subcommittee considered the pending peer reviewer appointments and recommends Oversight Committee approval.





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## CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

### SCIENTIFIC RESEARCH AND PREVENTION PROGRAMS COMMITTEE MEMBER NOMINATIONS

#### Prevention Program

- Vanessa Sheppard, Ph.D.
- Luis Escobedo, M.D., S.M., M.P.H.
- Folakemi Odedina B. Pharm, Ph.D.

#### Academic Research Program

- William Hahn, M.D., Ph.D. (Cancer Biology Review Panel)
- Benjamin Berman, Ph.D. (Cancer Biology Review Panel)
- Amir Goldkorn, M.D. (Cancer Biology Review Panel)
- Alexander Anderson, Ph.D. (Basic Cancer Research – 1 Review Panel)
- Lynne Maquat, Ph.D. (Basic Cancer Research – 1 Review Panel)
- Raul Rabadan, Ph.D. (Basic Cancer Research – 2 Review Panel)
- Curt Pesmen (Advocate Reviewer, Basic Cancer Research – 2 Review Panel)
- Sandra Finestone, Ph.D. (Advocate Reviewer, Basic Cancer Research – 2 Review Panel)
- Barry Taylor, Ph.D. (Clinical and Translational Cancer Research Review Panel)



## Proposed New Reviewers (Prevention Program)



### Vanessa Sheppard Ph.D.

Vanessa Sheppard, Ph. D, is an Associate Professor, Department of Oncology, Breast Cancer Program, At Georgetown University Washington DC. She conducts research to focus on understanding and improving access to adherence of medical therapies and support shown to benefit patients and breast cancer survivors. Dr. Sheppard received her doctoral degree in Epidemiology Health Services Research from Eastern Virginia Medical School, Norfolk, VA. She has also received her Fellowship in Health Services Research from Association of American Medical Colleges.

As a National Institute of Health Disparities Scholar, her long-term career goal is to help reduce the unequal burden of cancer experienced by minority women through scholarship and service. She has received federal and private funding to pursue this goal. Her work is primarily focused on African American, African Immigrant, and Latina populations. It is focused on examining factors that contribute to disparate treatment outcomes such as patient-provider relationships, informed decision-making, and genetic counseling and testing. Dr. Sheppard has been fortunate to have her work presented at numerous professional meetings and published in scientific journals. In 2001, she was awarded the prestigious Herbert Nickens, MD award for outstanding junior faculty from the American Association of Medical Colleges. In 2008, she received inaugural funding from the Fisher Center for her study, "Understanding Barriers and Motivators to African American Women's Participation in Genetic Counseling and Testing."



### Luis Escobedo M.D., S.M., M.P.H.

Dr. Luis Escobedo is a preventive medicine physician in Las Cruces, New Mexico. He received his medical degree from Stanford University School of Medicine, and his Masters in Public Health from Harvard University. He has been in practice for 36 years. His interests are Preventive Medicine: Public Health & General Preventive Medicine.



### Folakemi Odedina B.Pharm, PhD

Dr. Odedina is Director of University of Florida Health Cancer Center Cancer Health Disparities. She works on the development of a predictive behavioral model of prostate cancer disparities among Black men and the implementation of cost-effective, community-based intervention programs in minority and underserved communities.

Odedina's research program focuses on the predictors of health disparities and cost-effective, community-based behavioral interventions to improve the health of Black men. She has directed more than 20 research projects, including: (1) the Florida A&M University Center for Minority Prostate Cancer Training and Research (CMPC), which comprises a trans-disciplinary team of clinical,

behavioral and basic scientists; and (2) a landmark Department of Defense prostate cancer research project which accrued over 3,000 Black men in Florida. Her initiatives include the Men's Health Initiative and the Black Men's Health Consortium in Florida.

Odedina's research traverses across the world with an international consortium group in Africa, Caribbean Islands, Europe and the United States. She has received numerous awards for her work, including the 1st American Society of Health-Systems Pharmacy/ Association of Black Health-System Pharmacists Leadership Award for Health Disparities (2009); American Association for Cancer Research – MSI Faculty Award in Cancer Research (2007, 2002, 1998); US Fulbright Scholar award (2006 – 2007); Role Model Award Citation by Minority Access Inc (2005); and Association of Black Health-system Pharmacists Research and Publication Achievement Award (2004). She is also noted in Who's Who in America and Who's Who in Science and Engineering publications. Odedina currently serves on several international, national and state initiatives for cancer.



## BIOGRAPHICAL SKETCH

NAME William Chun Hahn	POSITION TITLE Associate Professor of Medicine		
eRA COMMONS USER NAME (credential, e.g., agency login) WILLIAM_HAHN			
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)			
INSTITUTION AND LOCATION	DEGREE (if applicable)	MM/YY	FIELD OF STUDY
Harvard College, Cambridge, MA	A.B.	1983-1987	Biochemistry
Harvard Medical School, Boston, MA	M.D.	1987-1994	Medicine
Harvard University, Cambridge, MA	Ph.D.	1989-1994	Immunology
Massachusetts General Hospital, Boston, MA		1994-1996	Internal Medicine
Dana-Farber Cancer Institute, Boston, MA		1996-1999	Medical Oncology
Whitehead Institute for Biomedical Research, Cambridge, MA		1997-2001	Cancer Biology

### A. Personal Statement

My laboratory has a longstanding interest in studying cooperative genetic alterations that program malignant transformation and has developed many experimental models in which specific genetic alterations can be studied in isogenic contexts. In addition, we have helped develop genome scale tools (short hairpin RNA and open reading frame libraries) as well as the methodologies to use these tools to identify and study oncogenes, cancer pathways and targets. We have applied these tools to a number of assays to identify genes involved in cell transformation, tumor maintenance, stem cell function and drug resistance. In particular, I have a long standing interest in prostate cancer and have developed widely used cell models and interrogated pathways important for prostate oncogenesis. We are particularly interested in using these systematic approaches to identify co-dependencies to oncogenes and tumor suppressor genes as well as resistance mechanisms to targeted therapeutics, which will serve as additional targets for translational studies.

### B. Positions and Honors

#### ACADEMIC APPOINTMENTS:

1994-1999	Clinical Fellow in Medicine, Harvard University
1997-2001	Postdoctoral Fellow, Whitehead Institute for Biomedical Research
1999-2001	Instructor in Medicine, Harvard University
1999-	Associate Physician, Dana-Farber Cancer Institute and Brigham and Women's Hospital
2001-	BBS Faculty (Pathology and Human Biology and Translational Medicine)
2001-2006	Assistant Professor of Medicine, Harvard Medical School and Dana-Farber Cancer Institute
2004-	Senior Associate Member, Broad Institute of Harvard and M.I.T.
2006-	Associate Professor of Medicine, Harvard Medical School and Dana-Farber Cancer Institute
2007-	Member, Program in Human Biology and Translational Medicine
2007-	Director, Center for Cancer Genome Discovery, Dana-Farber Cancer Institute
2010-2014	Deputy Chief Scientific Officer, Dana-Farber Cancer Institute
2010-	Chief, Division of Molecular and Cellular Oncology, Dana-Farber Cancer Institute
2015-	Chair, Executive Committee for Research, Dana-Farber Cancer Institute

#### HONORS AND AWARDS:

National Honor Society Scholarship (1983), Harvard National and Graduate Scholar (1983-1994), John Harvard Scholar (1983-1987), *Summa cum laude*, Harvard University (1987), Elected to Phi Beta Kappa (1987), Howard Hughes Medical Institute Predoctoral Fellowship (1989-1992), Damon Runyon-Walter Winchell Cancer Research Fellowship (1998-1999), Herman and Margaret Sokol Postdoctoral Fellowship (1998-1999), Howard Hughes Medical Institute Postdoctoral Fellowship for Physicians (1999-2000), Wilson S. Stone Memorial Award, MD Anderson Cancer Center (2000), Doris Duke Charitable Foundation Clinical Scientist Development Award (2000-2006), Dunkin Donuts Rising Star Award (2001-2003), Howard Temin Award, National Cancer Institute (2001-2006), Kimmel Translational Scholar Award (2002-2004), Claudia Adams Barr Research Award (2004-2005), American Society for Clinical Investigation (2005), Tisch Family Research Award (2007), Gill-Simonian Prize for Research Excellence and Mentoring (2008), Nature Biotechnology

## BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME Benjamin P. Berman, Ph.D.	POSITION TITLE Director, Bioinformatics & Computational Biology Research Center, Associate Professor of Biomedical Sciences		
eRA COMMONS USER NAME (credential, e.g., agency login) BENBERMAN			
EDUCATION/TRAINING (Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)			
INSTITUTION AND LOCATION	DEGREE (if applicable)	MM/YY	FIELD OF STUDY
University of California, Berkeley	B.A.	05/96	Computer Science
University of California, Berkeley	Ph.D.	12/06	Molecular & Cell Biology (bioinformatics track)

### A. Personal Statement

Dr. Berman leads the Bioinformatics and Computational Biology Research Center at Cedars-Sinai. His research expertise includes disease epigenomics, non-coding regulatory sequence annotation, and next-generation sequencing technologies. He published the first study showing that cis-regulatory enhancer elements could be identified genome-wide using a purely computational approach (***PNAS*** 99,757; 2002). As a molecular epidemiology postdoctoral fellow, he was one of the first to use ChIP-chip to identify combinatorial epigenomic profiles (***PLoS One***, 3,11; 2008) and use them for functional analysis of non-coding regulatory GWAS variants (***PLoS Genetics*** 5,8; 2009). From 2008-2014, he was the director of next-generation sequencing bioinformatics for The Norris Comprehensive Cancer Center and the USC Epigenome Center. His group implemented automated pipelines to analyze thousands of samples per year (RNA-seq, ChIP-seq, Bisulfite-seq, NOME-seq, FAIRE-seq), and was the first to sequence a complete cancer epigenome (***Nature Genetics*** 44,40; 2011). Dr. Berman was a Co-Investigator of the TCGA (The Cancer Genome Atlas) epigenomic data production center (***Cancer Cell*** 17,510; 2010, ***Nature*** 487,330; 2012, ***Nature*** 490,61; 2012, ***Nature*** 499,43; 2013, ***Nature Genetics*** 45:1113; 2013), and he co-leads the ICGC (International Cancer Genome Consortium) analysis group for the integration of epigenomic and genomic alterations. He jointly developed the NOME-seq combinatorial epigenomic assay (***Genome Research*** 22:12; 2012, ***Genome Research*** 25,467; 2015), which was named one of the top 10 innovations of the year in 2013 (***The Scientist*** 27,38394; 2013).

### B. Positions and Honors

#### Positions and Employment

1996-1997	Software Engineer, Apple Computer, Inc.
1998-2000	Bioinformatics Software Engineer, Lawrence Berkeley National Laboratory
2007	Postdoctoral Fellow, Cancer Epidemiology Division, USC/Norris Comprehensive Cancer Center
2008-2011	Senior Research Associate, USC Epigenome Center, Keck School of Medicine of USC
2008-2014	Director of Next-Generation Sequencing Bioinformatics, Norris Comprehensive Cancer Center
2011-2014	Assistant Professor, Bioinformatics Division, USC Preventive Medicine Department
2014-present	Adjunct Assistant Professor, Bioinformatics Division, USC Preventive Medicine Department
2014-present	Associate Professor, Department of Biomedical Sciences & Board of Governors Regenerative Medicine Institute, Cedars-Sinai Medical Center
2014-present	Director, Cedars-Sinai Bioinformatics and Computational Biology Research Center

#### Honors and Awards

2001-2003	NIH T32 Genomics Pre-doctoral Trainee (NHGRI)
2007-2008	NIH T32 Cancer Epidemiology Post-doctoral Trainee (NCI)
2010-2014	Forbeck Scholar Award, William Guy Forbeck Research Foundation
2013-2014	American Cancer Society Junior Faculty Research Award
2013-2016	STOP CANCER Research Career Development Award

**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. **DO NOT EXCEED FIVE PAGES.**

NAME: Amir Goldkorn

eRA COMMONS USER NAME (credential, e.g., agency login): GOLDAMIR

POSITION TITLE: Associate Professor of Medicine with Tenure

EDUCATION/TRAINING *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)*

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY
Harvard University	B.A.	06/1994	Biology
UCLA School of Medicine	M.D.	06/1998	Medicine
University of California, Los Angeles	Residency	06/2001	Internal Medicine
University of California, San Francisco	Fellowship	06/2005	Hematology/Oncology
University of California, San Francisco	Post-doc	02/2007	Telomerase in Cancer (Mentor: Elizabeth Blackburn)

**A. Personal Statement**

As a physician-scientist in the field of oncology, I have built a laboratory-based research program focused on developing the therapeutic and prognostic potential of circulating tumor cells, cancer stem cells, and telomerase, because these areas offer unique opportunities to better understand and surmount cancer heterogeneity and thus ultimately provide more effective therapy. Our projects range from basic mechanistic research to correlative molecular analyses for clinical trials, and our work has been supported by extramural grants including two NIH R01s and several peer reviewed national foundation grants. Findings from these studies have been published in high-impact journals such as the Journal of Clinical Oncology, Lancet Oncology, Cancer Research, and the Journal of the National Cancer Institute. In parallel to this laboratory based program, I continue to provide care for cancer patients in the hospital wards and clinics, and to mentor students and house-staff in the classroom, laboratory and clinic. In addition, I recently founded and direct a first-of-its-kind Circulating Tumor Cell Research Core at USC Norris, which has facilitated new research collaborations with colleagues at USC and beyond. Collectively, these activities have enabled a level of synergy only possible in an academic setting: Patient care and student mentoring that provide not only personal gratification, but also unique opportunities to ask new questions that advance our field.

**B. Positions and Honors****Positions and Employment**

2007-2015	Assistant Professor of Medicine (Tenure Track), Genitourinary Section, Division of Medical Oncology, Department of Medicine, Keck School of Medicine & Norris Comprehensive Cancer Center, University of Southern California, Los Angeles
2011-	Director, Circulating Tumor Cell Research Core, USC Norris Comprehensive Cancer Center
2015-	Associate Professor of Medicine with Tenure, Genitourinary Section, Division of Medical Oncology, Department of Medicine, Keck School of Medicine & Norris Comprehensive Cancer Center, University of Southern California, Los Angeles

## Other Experience and Professional Memberships

2002-	Member, American Association for Cancer Research (AACR)
2002-	Member, American Society of Clinical Oncology (ASCO)
2007-	Member, Southwest Oncology Group Genitourinary Committee
2007-	Member, California Cancer Consortium
2007-	Member, Norris Comprehensive Cancer Center Leadership Council
2007-	Member, Clinical Investigations Committee, Norris Cancer Center
2010	Member, Ad Hoc, NIH/NCI Study Section: EDRN Biomarker Development
2010-	Reviewer, <i>Lancet Oncology</i> , <i>J of Cellular Biochemistry</i> , <i>J of Urology</i>
2011-	Invited Member, AACR Membership Development Task Force
2013-	Editorial Board Member, <i>Frontiers in Medicine</i> , <i>J of Clin Onc &amp; Res</i> , <i>Telomere &amp; Telomerase</i>
2014-	Elected Member, Western Society of Clinical Investigation
2014-	Member, Dutch Cancer Society Grant Review Panel

## Honors

1990-1994	Harvard College Scholarship; Magna cum laude (1994)
1996-1997	UCLA School of Medicine letters of distinction
2006-2007	ASCO Young Investigator Award
2007	DOD Physician Scientist Training Award ( <i>relinquished, overlap with K-08</i> )
2012	ASCO Merit Award
2015	Outstanding Investigator Award, American Federation for Medical Research, WAFMR

## C. Contribution to Science

I seek to address the challenge of cancer heterogeneity by focusing my laboratory's efforts in three high-impact areas: Circulating tumor cells, cancer stem cells, and telomerase.

1. Circulating Tumor Cells (CTCs): CTCs are cancer cells shed by solid tumors into the bloodstream, and their analysis can address cancer heterogeneity by identifying molecular drivers unique to an individual patient's tumor. We developed a slot microfilter that captures live CTCs from whole blood based on differential size and deformability, allowing for their molecular characterization (Priority Report, *Cancer Research*, 2010). In pilot studies, we collected CTCs from patients and from mouse xenograft models for transcriptome analysis in parallel with primary tumor and metastasis cells from the same hosts, enabling identification of differentially expressed or mutated genes that may drive cancer dissemination and progression. These techniques have been expanded to the clinical realm, where we integrated CTC capture and analysis into a variety of therapeutic trial settings: In prostate cancer, we led a large NCI R01 funded project of CTC capture and analysis as part of a North American Intergroup Phase III prospective trial, SWOG 0421 (*Lancet Oncology* 2013). Our team led the CTC correlative studies for this trial and demonstrated the prognostic value of CTC enumeration for overall survival in the first-line chemotherapy setting for metastatic prostate cancer (*J Clin Oncology* 2014). We also demonstrated the first CTC-based molecular marker – CTC telomerase activity – to be prognostic of overall survival in a large prospective trial setting (*Int J Cancer*, *In Press*). Most recently, we were awarded a second R01 (NIH/NCI) to support translational medicine studies of CTCs and primary tumors from patients enrolled in S1216, a phase 3 SWOG multi-center trial in men with hormone sensitive metastatic prostate cancer. CTCs isolated from these patients' blood samples undergo high throughput genomic and gene expression analyses focused on the androgen pathway to identify biomarkers of response and progression on hormonal therapy. At the same time, I founded and direct a new, first-of-its-kind CTC Research Core at USC Norris, which employs multiple new CTC platforms to analyze CTC specimens from patients enrolled in clinical trials at USC and beyond. Collectively, these activities enable better tracking, analysis, and treatment of cancers based on their individual unique molecular profiles.
  - a. Xu T, Lu B, Tai YC and Goldkorn A. A cancer detection platform which measures telomerase activity from live circulating tumor cells captured on microfilter, *Cancer Research*, 70(16): 6420-6426. 2010. PMID: 20663903.
  - b. Goldkorn A et al. Circulating tumor cell (CTC) counts are prognostic of overall survival (OS) in SWOG S0421-docetaxel with or without atrasentan for metastatic castration resistant prostate cancer (mCRPC). *J Clinical Oncology*: 32(11):1136-42 [*Epub March 2014*]. PMID: 24616308

**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. **DO NOT EXCEED FIVE PAGES.**

NAME: Anderson, Alexander R. A.

eRA COMMONS USER NAME (credential, e.g., agency login): ASANDYA

POSITION TITLE: Chair, Integrated Mathematical Oncology Department

EDUCATION/TRAINING *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)*

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY
University of Paisley, Scotland, UK	B.Sc.	06/1991	Mathematical Sciences
University of Dundee, Scotland, UK	M. Sc.	08/1992	Mathematical Biology
University of Dundee, Scotland, UK	Ph. D.	11/1996	Mathematical Biology

**A. Personal Statement**

My lab has been facilitating integrated research within Moffitt for the last 7 years. During this time we have established mathematical and computational cancer models of glioma, myeloma, leukemia, melanoma, prostate, lung and breast. Our central goal is to utilize mathematical and computational approaches to better understand, predict and treat cancer. We have a diverse suite of mathematical and computational tools at our disposal covering the gamut of spatial and temporal scales that cancer encompasses, many of them being multiscale in nature, having a focus at the cellular scale but bridging both up and down these biological scales. An important theme throughout my research career has been the desire to build integrative models that produce functionally useful predictions for the specific bio-medical problem under consideration. The focus of this proposal is to use mathematical and computational models to develop better treatment strategies that exploit evolution rather than ignore it. Viewing cancer from an ecological perspective has been driving my research for a number of years and fundamentally means that we must take into account the implicit heterogeneity within the tumor and its environment. I began my initial cancer modeling during my 1st postdoc on angiogenesis, developing the first hybrid discrete-continuum model. Subsequent work applied similar models to anti-angiogenesis and tumor growth. Much of my current research is focused on examining the key role of the microenvironment as a selective force in the growth and evolution of cancer. During the last 11 years I have closely collaborated with biologists to develop truly integrated models. This has both changed the way biologists do experiments, and the way in which models are developed. Building models that can generate testable hypothesis and utilizing experimental data to parameterize them is a key component of all of the research being done in my lab. As PI and Co-PI of projects involving multiple disciplines I believe my skill at communicating complex mathematical ideas to biological and clinical colleagues, will be critical for this multidisciplinary proposal. Given, that I have over 19 years experience in developing and analyzing mathematical models in application to medical and biological problems and 86 peer reviewed publications, I feel that I have the appropriate experience to fully realize the aims of this proposal.

1. Anderson AR, Weaver AM, Cummings PT, Quaranta V. Tumor morphology and phenotypic evolution driven by selective pressure from the microenvironment. Cell. 2006 Dec 1;127(5):905-15. [PubMed PMID: 17129778.](#)
2. Basanta D, Anderson ARA. (2013) Exploiting ecological principles to better understand cancer progression and treatment. Interface Focus 3, 20130020, [doi:10.1098/rsfs.2013.0020.](#)
3. Robertson-Tessi M, Gillies RJ, Gatenby RA, Anderson AR. Impact of metabolic heterogeneity on tumor growth, invasion, and treatment outcomes. Cancer Res. 2015; 75(8):1567-79. [PubMed PMID: 25878146.](#)



## B. Positions and Honors

### Positions and Employment

1992-1995	Scientific Officer, Scottish Crop Research Institute, Invergowrie, Scotland, UK
1996-1997	Postdoctoral Research Asst., School of Mathematical Sciences, University of Bath, England, UK
1997-2000	Postdoctoral Research Asst., Dept. of Mathematics, University of Dundee, Scotland, UK
2000-2003	Royal Society of Edinburgh Personal Research Fellow, Dept. of Mathematics, University of Dundee, Scotland, UK
2003-2005	Research Lecturer, Division of Mathematics, University of Dundee, Scotland, UK
2005-2008	Senior Lecturer, Division of Mathematics, University of Dundee, Scotland, UK
2008-2012	Co-Director of the Integrated Mathematical Oncology, Moffitt Cancer Center, Tampa, FL.
2012-	Chair of the Integrated Mathematical Oncology Department, Moffitt Cancer Center, Tampa, FL.

### Other Experience and Professional Memberships

1996 –	Member, Society for Mathematical Biology
1996 –	Member, European Society for Mathematical and Theoretical Biology
2008 –	Member, American Association for Cancer Research
2006 – 2011	Auditor for the European Society for Mathematical and Theoretical Biology
2009 –	Associate Editor, Medicine and Biology: A Journal of the IMA
2008 –	Associate Editor, Cancer Research

### Honors

2000 – 2003	Personal Research Fellowship, awarded by the Royal Society of Edinburgh.
2009 – 2013	Annual Ad-Hoc reviewer for MABS NIH study section.
2010 – 2013	Member, Mathematical Bioscience Institute (MBI) Scientific Advisory Committee (SAC)
2012 –	Board of Directors, Society of Mathematical Oncology (SMB)
2014 –	Permanent member of the MABS NIH study section.

## C. Contribution to Science

### **I. Integrated Mathematical Oncology**

During my early collaborations with cancer biologists I came to realize the power of integrative science – with models driving novel experiments and experiments altering model processes and direction. This led me to the understanding that a comprehensive mechanistic view of the cancer was possible, but only if we could assemble a physically integrated team of interdisciplinary scientists that includes biologists, clinicians and mathematicians [1]. Inspired by my successful interactions with biologists, I formed the Department of Integrated Mathematical Oncology (IMO) at Moffitt Cancer Center in 2008 - the first of its kind being fully embedded in the infrastructure of a comprehensive cancer center. During the last decade I have been trying to facilitate IMO science, through the local annual hands on IMO workshops or the biannual NCI funded workshops (e.g. mathematics of the ICBP/PSOC meeting hosted by IMO in Tampa this year [4]), special journal issues [2] and more recently through the development of a handbook of current mathematical approaches in cancer research. It is my strong belief that because cancer is a dynamic complex multiscale system, that can only truly be understood via the integration of theory and experiments. The goal of the IMO as a discipline is therefore to use such an integrated approach to better understand, predict and treat cancer [3].

1. Anderson AR, Quaranta V. Integrative mathematical oncology. Nat Rev Cancer. 2008 Mar;8(3):227-34. [PubMed PMID: 18273038.](#)
2. Anderson ARA, Tomlin CJ, Couch J, and Gallahan D. (2013) Mathematics of the Integrative Cancer Biology Program. Interface Focus 3, 20130023, [doi:10.1098/rsfs.2013.0023.](#)
3. [Getting Cancer Wrong](#) by Alexander Nazaryan, [Newsweek](#), Cover story, March issue, 2014.
4. [https://storify.com/ara\\_anderson/integrative-cancer-biology-program-icbp-and-physisic](https://storify.com/ara_anderson/integrative-cancer-biology-program-icbp-and-physisic)

### **II. Tumor Heterogeneity and the Microenvironment**

Tumor heterogeneity at the genetic scale has been known for decades and until recently was largely viewed as a whole tumor metric. Historically, molecular techniques average genomic signals from large numbers of cells from single biopsies, thus smoothing and potentially hiding underlying variations. These average signatures

**BIOGRAPHICAL SKETCH**

Provide the following information for collaborators listed on this application. Follow this format for each person.

**DO NOT EXCEED TWO PAGES**

NAME Lynne Elizabeth Maquat, Ph.D.		POSITION TITLE Director, Center for RNA Biology - Department of Office of VP for Health Sciences (URMC); J. Lowell Orbison Distinguished Service Alumni Professorship - Department of Dean's Office	
EDUCATION/TRAINING ( <i>Begin with baccalaureate or other initial professional education, and include postdoctoral training.</i> )			
INSTITUTION AND LOCATION	DEGREE (if applicable)	YEAR(s)	FIELD OF STUDY
University of Connecticut	BA	1974	Biology
University of Wisconsin – Madison	Ph.D.	1979	Biochemistry

**A. Positions and Honors.** List in chronological order previous positions, concluding with your present position.  
List any honors. Include present membership on any Federal Government public advisory committee.

Canada Gairdner International Award   The Gairdner Foundation	2015
William C. Rose Award   American Society of Biochemistry and Molecular Biology	2014
Batsheva de Rothschild Fellow of the Israel Academy of Sciences and Humanities	2013
Elected to the National Academy of Sciences   National Academy of Sciences	2011
RNA Society Lifetime Achievement Award in Service   RNA Society	2010
Elected to the American Association for the Advancement of Science	2006
Elected to the American Academy of Arts and Sciences, American Academy of Arts and Sciences	2006
RPI/RNA Award for most significant paper co-authored by a junior scientist published in RNA   RNA Journal	1998
Exemplary "Woman in Government"   New York State Commissioner of Health	1990
American Heart Association Established Investigatorship, American Heart Association	1985 – 1989
Athena Award   Women's Council of the Rochester Business Alliance	2014
Presidential Diversity Award   University of Rochester	2013
Davey Memorial Award for Outstanding Cancer Research, Wilmot Cancer Center, URMC	2002

**B. Other information considered essential for evaluation of your qualifications.**

Research in my lab focuses on RNA decay pathways. One pathway, called nonsense-mediated mRNA decay (NMD) or mRNA surveillance, surveys all newly synthesized mRNAs during what we call a "pioneer" round of translation. This round of translation involves mRNA that is associated with the cap-binding heterodimer CBP80 and CBP20. It is distinct from the type of translation that supports the bulk of cellular protein synthesis and involves a different cap-binding protein, eukaryotic initiation factor (eIF) 4E. Generally, if translation terminates more than 50-55 nt upstream of an exon-exon junction that is marked by the NMD factors Upf3 or Upf3X, Upf2 and ultimately Upf1, then the mRNA will be subject to NMD. By the time CBP80 and CBP20 have been replaced by eIF4E, the Upf mark has been removed so that mRNA is largely immune to NMD.

Studies in progress will significantly advance our understanding of the mRNP proteins, translation factors and nucleases that trigger NMD. Our results will be useful when designing therapies that aim to abrogate NMD in order to abrogate the severity of nonsense-generated diseases. We are also

interested in further characterizing the pioneer translation initiation complex and requirements for its remodeling to the steady-state initiation complex that involves eIF4E. Additionally, we are interested in the cycle of posttranslational modifications that typify at least some of the NMD factors, including phosphorylation of Upf1 that is mediated by the PI 3-kinase-related protein kinase Smg1.

We have also uncovered a new mRNA decay pathway that we call Staufén (Stau)1-mediated mRNA decay (SMD). This pathway provides cells with a previously unappreciated means to regulate gene expression posttranscriptionally. We have found that the double-stranded RNA binding protein Stau1 recruits the NMD factor Upf1 to mRNAs, a number of which have been identified using microarray analysis in collaboration with Luc DesGroseillers (Université de Montréal). For those mRNAs that we have studied in detail, Stau1 recruits Upf1 to the 3' UTR and elicits mRNA decay in way that depends on translation termination at the normal (i.e., upstream) termination codon. By so doing, Stau1 bypasses the need for the Upf3 or Upf3X and Upf2 NMD factors, which serve to recruit Upf1 during NMD. More recent microarray and other types of analyses of mRNAs that are upregulated when Stau1 is downregulated indicate that SMD is widely used by cells as a means of posttranscriptional control.



**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. **DO NOT EXCEED FIVE PAGES.**

NAME: Raul Rabadan

eRA COMMONS USER NAME: RR2579

POSITION TITLE: Associate Professor, Center for Computational Biology and Bioinformatics, Dept. Biomedical Informatics, Dept. Systems Biology

**EDUCATION/TRAINING**

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date	FIELD OF STUDY
Autonoma University, Madrid, Spain	MSc	06/1998	Theoretical Physics.
Autonoma University, Madrid, Spain	PhD	01/2001	Theoretical Physics.
CERN, Geneva, Switzerland		09/2003	Theoretical Physics.
Institute for Advanced Study, Princeton		09/2006	Theoretical Physics.
Institute for Advanced Study, Princeton		09/2008	Systems Biology.

**A. Personal Statement**

I received my Ph.D. in Theoretical Physics in 2001 and went on to conduct research in that field at the European Laboratory for Particle Physics (CERN) in Switzerland and at the Institute for Advanced Study (IAS) in Princeton. My work in Theoretical Physics have resulted in 30 publications, mostly in the area of String Theory. In 2006 I joined the Systems Biology program at IAS, as a Martin A. and Helen Chooljian Member. In 2008 I joined the faculty at Columbia University, where I am currently a tenured Associate Professor with a joint appointment in the Department of Systems Biology and the Department of Biomedical Informatics. I am the director of the Columbia University Center for Topology of Cancer Evolution and Heterogeneity and a member of the Scientific Advisory Board of the JP Sulzberger Columbia Genome Center. At Columbia, I lead a highly interdisciplinary lab with researchers from the fields of mathematics, physics, computer science, engineering, and medicine, with the common goal of solving pressing biomedical problems through quantitative computational models. My work is mainly focused on developing tools to analyze genomic data, extracting the relevant information to understand the molecular biology, population genetics, evolution, and epidemiology of cancer.

These tools successfully led to the discovery of novel alterations in diverse malignancies, among others:

- The landscape of genetic alterations in GBM (*Nature Genetics*)
- The first gene fusion in glioblastoma multiforme (*Science*),
- A defining drugable alteration in Hairy Cell Leukemia (*New England Journal of Medicine*),
- CREBBP alterations in diffuse large B-cell lymphoma (*Nature*),
- The genome of diffuse large B-cell lymphoma (*Nature Genetics*).
- Identification of mutations leading to relapse in acute leukemias (*Nature Medicine*).

## B. Positions and Honors

### Positions

- 2001-2003: Fellow at the Theoretical Physics Unit at **CERN, European Organization for Nuclear Research**, in Geneva, Switzerland.
- 2003-2006: Theoretical Physics Group of the **School for Natural Sciences** at the **Institute for Advanced Study, Princeton**, NJ.
- 2006-2008: Member of **The Simons Center for Systems Biology** led by A. J. Levine at the **Institute for Advanced Study (IAS)** in **Princeton**, NJ.
- 2008-2014: **Assistant Professor**, Department of Biomedical Informatics, Center for Computational Biology and Bioinformatics, **Columbia University**, New York, NY.
- 2014-present: **Associate Professor**, Department of Systems Biology, Department of Biomedical Informatics, Center for Computational Biology and Bioinformatics, **Columbia University**, New York, NY.
- 2015-present: **Director** of the Columbia University Center for Topology of Cancer Evolution and Heterogeneity, Columbia University, New York.

### Honors

- 2006-2008: Martin A. and Helen Chooljian Membership at Institute for Advanced Study, Princeton, NJ.
- 2010: Brilliant 10 Scientist.
- 2013: Stewart Trust Fellow.
- 2014: Harold and Golden Lampert Award.

### Other Experience and Professional Memberships

Reviewer of Nature, Cell, Nature Methods, eLife, Proceedings of the Natural Academy of Sciences, Journal of Virology, PLoS Pathogens, Cell Reports, Proceedings of Royal Society, Trends in Microbiology, Molecular Biology and Evolution, PLoS ONE, Biology Letters, Influenza and Other Respiratory Viruses, Eurosurveillance, Biosecurity and Bioterrorism: Biodefense Strategy, Practice, and Science, Mammalian Genome, Journal of High Energy Physics, Nuclear Physics B, Physics Letters B, Int. J. Phys. A., Mathematical Reviews.

## C. Contribution to Science

I received my PhD in Theoretical Physics in particular in the area of String Theory. After working in physics at the European Laboratory for Particle Physics (CERN) in Switzerland and at the Institute for Advanced Study (IAS), I became extremely interested in quantitative approaches to biology. In particular, my main interest is in understanding the dynamics of biological systems by studying large collections of genomes. In that line, I have become very active in finding alterations that drive tumor evolution and relapse to therapy.

1. Genetic similarity between cancers and comorbid Mendelian diseases identifies candidate driver genes. Rachel D. Melamed, Kevin J. Emmett, Chioma Madubata, Andrey Rzhetsky, **Raul Rabadan**. *Nature Communications* 2015 April 30; doi:10.1038/ncomms8033.
2. Jiguang Wang\*, Hossein Khiabani\*, Davide Rossi\*, Giulia Fabbri, Valter Gattei, Francesco Forconi, Luca Laurenti, Roberto Marasca, Giovanni Del Poeta, Robin Foà, Laura Pasqualucci, Gianluca Gaidano, Raul **Rabadan**. Tumor evolutionary directed graphs and the history of chronic lymphocytic leukemia. *eLife* 2014 Dec 11; doi: 10.7554/eLife.02869. [PMID: 25496728].
3. Convergent Mutations and Kinase Fusions Lead to Oncogenic STAT3 Activation in Anaplastic Large Cell Lymphoma. Ramona Crescenzo\*, Francesco Abate\*, Elena Lasorsa\*, Fabrizio Tabbo, Marcello Gaudiano, Nicoletta Chiesa, Filomena Di Giacomo, Elisa Spaccarotella, Luigi Barbarossa, Elisabetta Ercole, Maria Todaro, Michela Boi, Andrea Acquaviva, Elisa Ficarra, Domenico Novero, Andrea Rinaldi, Thomas Tousseyn, Andreas Rosenwald, Lukas Kenner, Lorenzo Cerroni, Alexander Tzankov, Maurilio Ponzoni, Marco Paulli, Dennis Weisenburger, Wing C. Chan, Javeed Iqbal, Miguel A. Piris, Alberto Zamo, Carmela Ciardullo, Davide Rossi, Gianluca Gaidano, Stefano Pileri, Enrico Tiacci, Brunangelo Falini, Leonard D. Shultz, Laurence Mevellec, Jorge E. Vialard, Roberto Piva, Francesco Bertoni, **Raul Rabadan**‡, Giorgio Inghirami‡. *Cancer Cell* 2015 April 13; doi:10.1016/j.ccell.2015.03.006. \* These authors have contributed equally to this work. ‡ These authors have contributed equally to this work.
4. Veronique Frattini, Vladimir Trifonov, Joseph Minhow Chan, Angelica Castano, Marie Lia, Francesco Abate, Stephen T. Keir, Alan X. Ji, Pietro Zoppoli, Francesco Niola, Carla Danussi, Igor Dolgalev, Paola

# Curtis Pesmen

Author, health/medical editor, journalist, content producer



## **Profile**

Curt Pesmen, author of seven books on health and medical topics, has written for *Esquire*, *GQ*, *Money* and *Outside* magazines, as well as for Money.CNN.com and *The New York Times*. A former staff editor at *SELF* and *Esquire* in New York, he served as founding editor of LiveStrong magazine on cancer survivorship as well as for LiveStrongmagazine.com. Recent clients have included New York University's Langone Medical Center and FightColorectalCancer.org.

## **Experience**

### **Principal, BoCo Media, LLC, Boulder, CO 2015 - 2004**

Served as author, Website + audiobook producer, and contract writer. Also performed advocacy and conference work for *Esquire* Magazine and other clients.

**Author, Editor, Tatra Media, Croton-on-Hudson, NY 2014-2013** Wrote and edited manuscript, *My Cancer Year: A Survivorship Memoir*.

**Associate Producer, Absolute Clay Films 2014 - 2012** Wrote, conceived pre- and post-production materials for award-winning docu. feature: *Keep On Keepin' On*.

**Founding Editor, LiveStrong Magazine; Online Editions, Boulder, CO 2012 - 2009** Conceived edit, strategy; managed staff and budget of Cancer Advocacy start-up.

### **Writer, Blogger, Fight Colorectal Cancer, Alexandria, VA 2015 - 1 2013**

Wrote newsletter and blog reports for national cancer advocacy org, served on research/training committee, participated in Call-on-Congress events, 2015.

### **Writer, Esquire magazine, New York, NY 2007 - 2001**

Wrote features, columns, special sections and series, under Editorial Director.

### **Columnist, Money magazine; Money.CNN.com, New York, NY Jan. - Dec. 2006**

Initiated ideas and wrote monthly column, "Health and Wealth" for the Time Inc. monthly and Money.CNN.com website. Linked finance and health topics monthly.

### **Author, co-Editorial Director, Tatra Press, Suffern, NY 2009 - 2004**

Researched, wrote text plus direct sales marketing for: *The Colon Cancer Survivors' Guide* and *Your Prostate Cancer Survivors' Guide* at Tatra Press.

### **Executive Articles Editor, SELF magazine, New York, NY 1996 - 1994**

Wrote, edited articles and special sections; made TV, radio publicity appearances.

### ***Education***

University of Illinois, Urbana-Champaign, B.S. Business Administration, w/ minor, Journalism.

Columbia University, New York, NY, completed first semester, M.A., economics program.

# # #



## **CURRICULUM VITAE**

**SANDRA FINESTONE**

### **EDUCATION:**

Associates of Arts Degree

Bachelor of Arts Degree

Master of Arts Degree

Doctor of Psychology

English, Cypress College

American Studies Major

English minor, Cal State Fullerton

American Studies,

Cal State Fullerton

American Behavioral Studies

### **EMPLOYMENT**

Coordinator of Breast and Prostate Cancer Patient Services –  
Hoag Cancer Center,  
Newport Beach, California

Self employed Accounting Practice in Irvine, California

### **PERSONAL INFORMATION**

Married 44 years – Spouse – Barry

Two grown children, Son, Jeffrey, Daughter, Risa

Two grandsons, Steven and Brett

## **COMMUNITY SERVICE:**

Special Touch Breast Health Trainer since 1989 - American Cancer Society  
Reach to Recovery Coordinator since 1986 – American Cancer Society  
Chair – Public Education – American Cancer Society – 1991  
Chair – Community Services – American Cancer Society – 1991  
Toastmaster trained 1990  
Community Lecturer for ACS since 1986  
Board Member of American Cancer Society 1989-1990  
Board Member of Jewish Family Services 1985-1996  
Editorial Board American Papers – CSUF 1989-1993  
Editorial Board History Journal – CSUF – 1993  
President Jewish Marriage Encounter- 1984-1986  
Vice-President American Studies Student Association 1991-1992  
Chair – Women’s Implant Information Network 1991-1999  
Treasurer – Susan G. Komen Foundation, Orange County Chapter 1992-1993  
President elect – Susan G. Komen Foundation, Orange County Chapter 1993  
President – Susan G. Komen Foundation, Orange County Chapter 1995  
State Breast Health Resource Committee, ACS 1992-1999  
St. Joseph Hospital Support Group Facilitator 1994-1995  
Anaheim Memorial Support Group Facilitator 1994  
Board Member of Breast Health Coalition of Orange County 1996-2001  
Executive Committee – State of California BCEDP Partnership  
Co-Chair Race for the Cure – Orange County 1996  
National Chapter Development Council – Komen Foundation 1996-1997  
Treatment Grant Chair – Komen Foundation, Orange County 1998  
Program Chair – Komen Foundation, Orange County 1999  
Vice Chair Grants – National Komen Foundation, 1999  
Vice President – Breast Cancer Early Detection Partnership 1999  
Chair – Breast Health Committee – American Cancer Society, 1999  
Reach to Recovery Management Team – American Cancer Society 1999  
Advisory Board – YWCA Encore Plus - 1999  
Consumer Reviewer – Department of Defense Breast Cancer Grants 1999  
President Elect – Orange County Affiliate Komen Foundation 1999  
Member of the National Volunteer Advisory Committee – Komen Foundation 2000  
Chair of Clinical Trials – Orange County Susan G. Komen Foundation 2000  
Vice President – Breast Cancer Early Detection Partnership 2000-2002  
State Management Team Member for Breast Health –ACS 2000-2002  
Chair – Breast Health Committee – American Cancer Society 2000 -2001  
Consumer Reviewer Mentor – Department of Defense 2000  
Advocate Panel Member – National Cancer Institute 2000  
Advocate Section Chair – Komen National Grants 2001  
Member National Alliance of Breast Cancer Organizations Survivorship Panel 2001  
President Orange County Affiliate of the Susan G. Komen Foundation 2001-2002  
American Cancer Society Reach to Recovery Management Team 2001

Treasurer Orange County Breast Cancer Coalition - 2001  
Vice Chair Orange County Breast Cancer Early Detection Partnership 2001  
Chair of Survivor Committee – Orange County Race for the Cure 2002  
Advocate Section Chair – Komen National Grants 2002  
Past President- Orange County Affiliate of the Susan G. Komen Foundation 2002-2003  
Education Chair – High Priority Breast Cancer Organization. 2002-2003  
Vice Chair – Orange County Cancer Detection Partnership 2002  
Treasurer – Orange County Breast Cancer Coalition 2002  
President – Orange County Affiliate of the Susan G. Komen Foundation 2002-2003  
Advocate Grant Reviewer – Department of Defense – 2004  
Advocate Grant Reviewer – Avon National Grants – 2004  
Advocate Grant Reviewer – Komen Orange County - 2004  
Past President – Orange County Affiliate of the Susan G. Komen Foundation 2003-2005  
American Cancer Society Ambassador – 2004-2005  
Gift of Hope Chair – American Cancer Society – 2005  
Co-chair Komen Diversity Conference – 2005  
Advisory Board Member – YWCA Encore Plus – 2005  
Advocate Grant Reviewer – Department of Defense – 2005  
Advocate Grant Reviewer – Avon National Grants – 2005  
Advocate Grant Reviewer – Section leader - Komen National Grants – 2005  
Advocate Grant Reviewer – Department of Defense – 2006  
Chair of Survivor Area – Orange County Race for the Cure – 2006  
Advocate Grant Reviewers- Department of Defense – 2007  
Advocate Grant Reviewer – Komen National Grants -2007  
Scientific –Survivor Participant – AACR -2007

## **AWARDS AND HONORS**

American Cancer Society Service Volunteer of the Year 1989  
Quality of Life Award – American Cancer Society -1990  
Spirit of Volunteerism Award – Nordstrom 1990  
Courage Award – American Cancer Society – 1991  
Volunteer of the Year – American Cancer Society 1992  
Student Association Achievement Award – CSUF 1992  
Student Association Outstanding Student Award – CGI – 1995  
Spirit of Volunteerism Award – J.C. Penney 1995  
Local Hero Award – BMW 1997  
Kellogg's You Can Make a Difference Award 1998  
Volunteer of the Year – American Cancer Society - 1998  
Nominee – Clara Barton Award – Outstanding Women in Health 2000  
YWCA – Outstanding Woman in Health - 2001  
Volunteer of the Year – Orange County Komen Foundation 2002  
BMW – Local Hero Award – 2002  
Bloomingdales – Outstanding Volunteer award for the Komen Foundation – 2002

Spirit of Volunteerism Award – American Cancer Society - 2002  
Soroptimist International – Newport Mesa...Honoring Community Contribution -2003  
Volunteer of the Year – Orange County Affiliate Susan G. Komen Foundation - 2003  
Lifetime Achievement Award – International Susan G. Komen Foundation 2003

## **PERSONAL AFFILIATIONS**

Editorial Board – American Papers 1989-1991  
Editorial Board – Welebeathen History Journal – 1992-1993  
Member American Studies Association  
Member California American Studies Association  
Member Popular Culture Association  
Member Far West Culture Association  
Member Susan G. Komen Foundation  
Member Y-E Organization  
Member Orange County Breast Cancer Coalition  
Member High Priority  
Member National Notary Association  
Gold Key National Honor Society  
Phi Alpha Theta Honor Society in History  
California Association of Family Therapists  
Member Breast Center Coalition  
Member Oncology Nurses Society

5/1/07



**BIOGRAPHICAL SKETCH**

Provide the following information for the Senior/key personnel and other significant contributors.  
Follow this format for each person. DO NOT EXCEED FIVE PAGES.

NAME: Barry S. Taylor, Ph.D.

eRA COMMONS USER NAME (credential, e.g., agency login): TAYLORBARRY

POSITION TITLE: Assistant Member, Human Oncology and Pathogenesis Program

EDUCATION/TRAINING *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable. Add/delete rows as necessary.)*

INSTITUTION AND LOCATION	DEGREE (if applicable)	Completion Date MM/YYYY	FIELD OF STUDY
University of California, San Diego	B.S.	06/1999	Cognitive Science
University of Michigan	M.S.	12/2005	Bioinformatics
Weill Medical College of Cornell University	Ph.D.	05/2009	Physiology, Biophysics, and Systems Biology

**A. Personal Statement**

The goal of my research program is to identify the somatic abnormalities that mediate the genesis, progression, and response to therapy of human cancers. My research program lies at the interface of computational and cancer biology. As a computational biologist with a multidisciplinary background in cancer biology, statistics, bioinformatics, and computer science, my laboratory employs a multifaceted approach using state-of-the-art tools including massively parallel sequencing, integrative genomic, and functional genetic approaches. Combining these with new companion computational methods and pipelines my lab has developed and optimized, we use a *bedside-to-bench-and-back* approach to identify tumor cell-specific vulnerabilities that can be therapeutically exploited in diverse malignancies. The major ongoing interests of my laboratory are (1) the evolutionary and therapy-induced origins of recurrent disease, (2) the molecular genetic basis for response and resistance to cancer therapy, and (3) the development of methods for population-scale integrative cancer genome analysis. Overall, my original research and laboratory investigations are focused squarely on opportunities to translate scientific discoveries aimed at improving the precision treatment of cancer patients. I am also the Associate Director of the MSKCC Center for Molecular Oncology, whose mission is to facilitate routine clinical/translational genomic characterization of active patients and those enrolled on therapeutic clinical trials and to develop novel molecular profiling methods.

**B. Positions and Honors**

2004-06 Graduate Student, University of Michigan Medical School  
 2006-09 Graduate Student, Weill Medical College of Cornell University  
 2009-12 Cancer Genomics Research Coordinator, Memorial Sloan Kettering Cancer Center  
 2009-12 David H. Koch Fellow, Computational Biology Center, Memorial Sloan Kettering Cancer Center  
 2010-12 Visiting Scientist, University of California, San Francisco  
 2012-14 Assistant Professor, Department of Epidemiology/Biostatistics and Medicine, University of California, San Francisco;  
 2012-14 Faculty Member, California Institute for Quantitative Biosciences (QB3)  
 2014- Associate Director, Center for Molecular Oncology, Memorial Sloan Kettering Cancer Center  
 2014- Assistant Attending, Department of Epidemiology and Biostatistics, Memorial Sloan Kettering Cancer Center  
 2014- Assistant Member, Human Oncology and Pathogenesis Program, Memorial Sloan Kettering Cancer Center

## **Other Experience and Professional Memberships**

2004-	American Association for the Advancement of Science
2007-	American Association for Cancer Research
2013-	Member, Prostate Cancer Foundation Research Award Review Committee
2013	Member, AACR Clinical and Translational Cancer Research Grants Scientific Review Committee
2013	Member, Melanoma Research Alliance Team Science Award Scientific Review Committee
2013-15	Member, AACR Gertrude B. Elion Cancer Research Award Scientific Review Committee
2014-15	Planning Committee Member Prostate Cancer Foundation Stupski Prize in Precision Oncology
2015-	Member, New York Genome Center Scientific and Clinical Steering Committee

## **Honors**

2008	Geoffrey Beene Graduate Fellowship, Memorial Sloan Kettering Cancer Center
2008	Second Place Award, \$10K Genome Grant Program, Life Technologies
2009	Young Investigator Award, Connective Tissue Oncology Society
2011	Young Investigator Award, Prostate Cancer Foundation
2013	Brain Tumor SPORE Career Development Award, University of California, San Francisco
2013	Sontag Foundation Distinguished Scientist Award
2014	Incumbent, Josie Robertson Investigator, Memorial Sloan Kettering Cancer Center
2015	American Cancer Society Research Scholar Award

## **C. Contribution to Science**

1. My laboratory has been a leader in developing new approaches to study drug sensitivity and resistance. Curative therapy for patients with advanced-stage tumors remains elusive. Our laboratory, along with collaborators, have pioneered the use of a phenotype-to-genotype approach that utilizes whole-genome sequencing and associated methods to identify the molecular genetic basis of outlier responses to both targeted and systemic therapies. In our initial work, we identified co-incident mutation of *TSC1* and *NF2* as the basis for a durable complete response to mTORC1 inhibition in a metastatic bladder cancer patient. We validated that *TSC1* mutations are a biomarker of clinical benefit from such therapies, a finding that has led to an ongoing basket study of mTOR inhibitors in solid tumors with *TSC1* mutations. These findings served as the intellectual basis and inspiration for the NCI's Exceptional Responders Initiative, which seeks to expand this work to more broadly identify novel biomarkers of response and resistance in clinical responders. Recently, we extended this work to understand the impact of adjuvant therapy on the origins and evolution of tumor recurrence. Utilizing a longitudinal genomic approach, we studied the heterogeneous clinical course and divergent evolutionary trajectories of low-grade gliomas, revealing how therapy drives an alternative evolutionary trajectory through catastrophic hypermutation. Representative studies include:

Iyer G, Hanrahan AJ, Milowsky MI, Al-Ahmadie H, Scott SN, Janakiraman M, Pirun M, Sander C, Socci ND, Ostrovnaya I, Viale A, Heguy A, Peng L, Chan TA, Bochner B, Bajorin DF, Berger MF, **Taylor BS**<sup>†</sup>, Solit DB<sup>†</sup>. Genome sequencing identifies a basis for everolimus sensitivity. *Science*. 2012; 338(6104): 221. PMC3633467

Iyer G, Al-Ahmadie H, Schultz N, Hanrahan AJ, Ostrovnaya I, Balar A, Kim P, Lin O, Weinhold N, Sander C, Zabor EC, Janakiraman M, Garcia-Grossman I, Heguy A, Viale A, Bochner B, Reuter VE, Bajorin DF, Milowsky MI, **Taylor BS**, Solit DB. Prevalence and co-occurrence of actionable genomic alterations in high-grade bladder cancer. *J. Clin. Oncol.* 2013; 31(25): 3133-3140. PMC3753703

Johnson BE, Mazor T, Hong C, Barnes M, McLean CY, Fouse SD, Yamamoto S, Ueda H, Tatsuno K, Aihara K, Asthana S, Jalbert LE, Nelson SJ, Bollen AW, Gustafson WC, Charron E, Weiss WA, Smirnov IV, Song JS, Olshen AB, Cha S, Zhao Y, Moore RA, Mungai AJ, Jones SJM, Hirst M, Marra MA, Mukasa A, Saito N, Aburatani H, Berger MS, Chang SM, **Taylor BS**<sup>†</sup>, Costello JF<sup>†</sup>. Mutational analysis reveals the origin and therapy-driven evolution of recurrent glioma. *Science*, 2014; 343(6167): 189-93. PMC3998672

Al-Ahmadie H, Iyer G, Hohl M, Asthana S, Schultz N, Hanrahan AJ, Scott SN, Brannon AR, McDermott GC, Pirun M, Ostrovnaya I, Kim P, Socci ND, Viale A, Schwartz GK, Reuter V, Bochner B, Rosenberg JE, Bajorin DF, Berger MF, Petrini JH<sup>†</sup>, Solit DB<sup>†</sup>, **Taylor BS**<sup>†</sup>. Synthetic lethality in ATM-deficient RAD50-mutant tumors underlie outlier response to cancer therapy. *Cancer Discov*, 2014; 4(9): 1014-1021. PMC4155059



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## CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

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### MEMORANDUM

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**SUBJECT:** FY 2016 HONORARIA POLICY  
**DATE:** AUGUST 11, 2015

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#### **Summary and Recommendation:**

The CPRIT's enabling legislation requires CPRIT's Chief Executive Officer, in consultation with the Oversight Committee, to adopt a policy regarding honoraria paid by CPRIT for peer review services. The Oversight Committee approved the FY 2015 honoraria policy at the August 2014 meeting. The FY2016 honoraria policy is the same as previously approved with a subsequent revision made in December 2014. I recommend approval of the FY 2016 honoraria policy.

#### **Discussion:**

CPRIT's Scientific Research and Prevention Programs committee members (also referred to as "peer reviewers") are responsible for reviewing grant applications and recommending grant awards for meritorious projects addressing cancer prevention and research (including product development) in Texas. State law authorizes CPRIT to pay honoraria to individuals appointed to CPRIT's Scientific Research and Prevention Programs committees (Health and Safety Code § 102.151(d)). The ability to pay honoraria is essential to retaining individuals with the expertise and experience to carry out the complex review process required by statute and CPRIT's administrative rules.

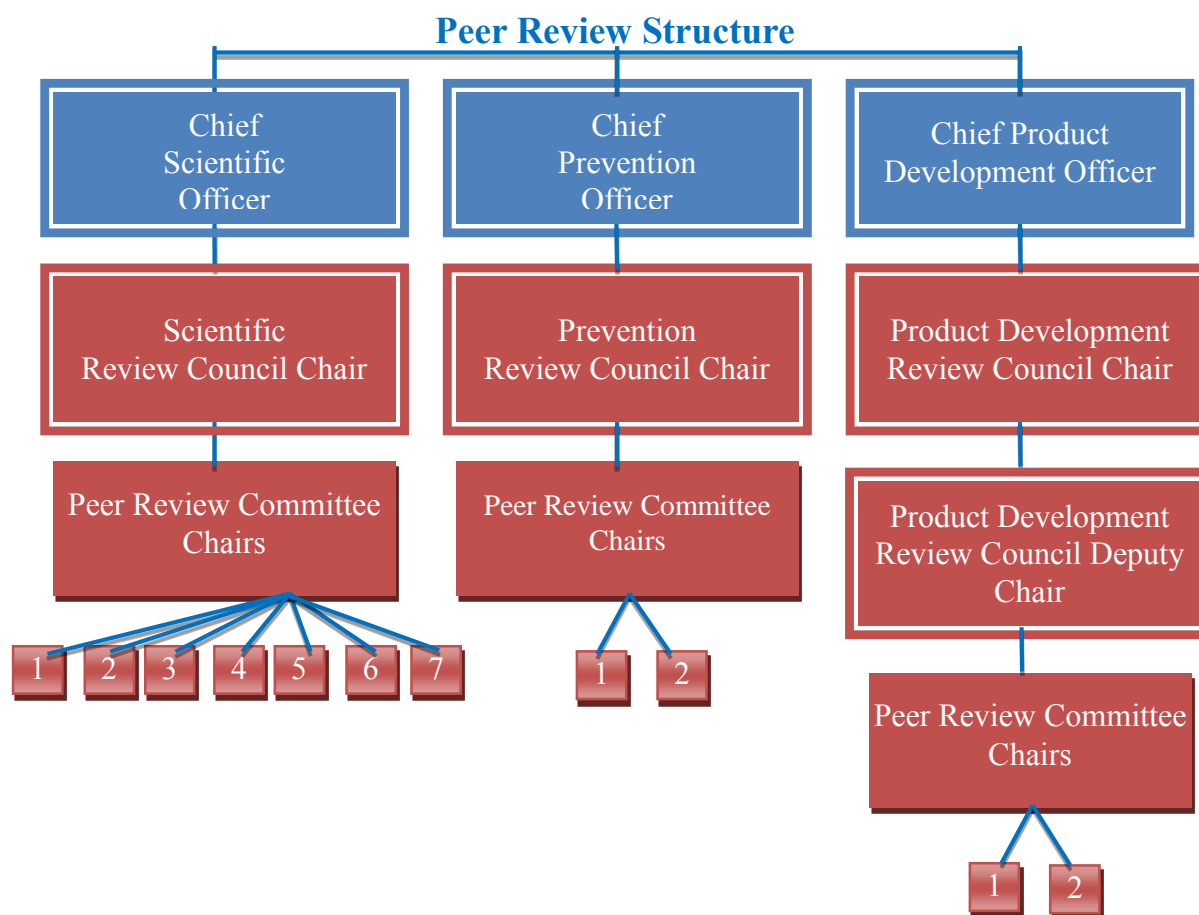
The State Auditor recommended that CPRIT implement a process to support the amount of honorarium it pays, to justify any changes, and to ensure that the honoraria are reasonable and competitive for the value CPRIT receives. Adopting documentation and process requirements for honoraria payments was also recommended. This guidance was codified in Section 102.151(e) of the Health and Safety Code.

CPRIT's program staff relied upon historical information as well as anticipated workload projections to perform a detailed analysis of the activities, hours, and units for peer reviewer workload. The FY 2016 policy incorporates the different roles and responsibilities assigned to Review Council chairs, Peer Review panel chairs, and peer review panel members and justifies the FY 2016 honorarium amount paid for each role. In the event that honoraria rates are not standard across the prevention, academic research, and product development programs, the policy justifies the reasons for paying different amounts. The policy fully implements the statutory mandate and audit recommendations.



## CPRIT PEER REVIEW FY 2016 HONORARIA POLICY<sup>1</sup>

Peer review of prevention and research applications is the evaluation process conducted by qualified experts for feasibility, significance, and potential for impact. Like many funding agencies, CPRIT has implemented a tiered peer review process designed to identify the best projects based on excellence, program-specific objectives, and organizational priorities.<sup>2</sup> Maximizing the success of CPRIT's academic research, product development, and prevention programs is dependent upon the quality of the peer reviewers CPRIT recruits. Therefore the peer reviewers must be exceptionally qualified, highly respected, well-established members of the cancer research, product development, and prevention communities.



CPRIT relies upon a pool of approximately 170 expert peer reviewers to evaluate, score and rank grant applications based upon significance and merit. As reflected above, the general peer review structure is the same for CPRIT's three grant programs. Reviewers are assigned to peer review committees based upon their expertise and background. The evaluations conducted by the

<sup>1</sup> Adopted pursuant to TEX. HEALTH & SAFETY CODE Section 102.151(e).

<sup>2</sup> A tiered approach to peer review has been recommended by the National Academies of Sciences.

peer review committees are used to develop the list of grant applications recommended for CPRIT grant awards.<sup>3</sup>

All of CPRIT's expert peer reviewers live and work outside Texas, which is an uncommon requirement among grant-making organizations. CPRIT implemented this peer reviewer qualification to ensure an impartial review, minimize conflicts of interest and provide the opportunity to select the best projects without regard for self-interest.

## **Honoraria**

In recognition of the work undertaken by CPRIT peer reviewers, state law authorizes CPRIT to pay honoraria to its peer reviewers.<sup>4</sup> CPRIT's ability to pay honoraria is essential to retaining individuals with the expertise and experience to carry out the complex review process required by statute and CPRIT's administrative rules.

CPRIT recruits world-renowned experts who live and work outside of the state to be peer reviewers. CPRIT's residency policy is important to maintaining a review process that minimizes the potential for political and other outside influences, but it means that the CPRIT review process, by design, lacks non-monetary incentives common to other grant review processes that may otherwise justify the time commitment required of CPRIT peer reviewers in addition to their full-time jobs.

Specifically, CPRIT reviewers are not eligible to compete for CPRIT grants. This is different than other cancer grant-making organizations such as National Institutes of Health (NIH), Centers for Disease Control and Prevention, Department of Defense, American Cancer Society, and Susan G. Komen for the Cure. For example, NIH reviewers may review grant applications as well as compete for NIH grants. Familiarity with the NIH review process gained by serving as an NIH peer reviewer provides the individual a significant nonmonetary benefit since that understanding better positions the reviewer to compete for and secure NIH grant funds as an applicant. This benefit is not available to CPRIT's reviewers.

A second nonmonetary benefit from serving on a review panel is that such service is an indication of external recognition in one's field, which is essential for academic promotion. Using peer reviewers who are already well-established in their careers means that this is not an incentive for CPRIT peer reviewers to participate.

The Chairs of CPRIT review panels are all highly distinguished in their respective fields and bring enormous stature to the peer review process. Unlike chairs of other review processes, CPRIT's chairs are responsible for recruiting peer reviewers for their panel. In addition, they serve as strategic advisors for CPRIT's grant programs. These responsibilities are unique to CPRIT review panel chairs and require considerably more effort and expertise than simply chairing a committee. Having panel chairs of this caliber distinguishes CPRIT's peer review process from all others.

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<sup>3</sup> For more information about the grant review process undertaken by the peer review committees, please see CPRIT's administrative rules, 25 T.A.C. Part 11, Sections 703.6 and 703.7.

<sup>4</sup> TEX. HEALTH & SAFETY CODE Section 102.151(d)

## **Honoraria Payment Process and Documentation**

**Review Council and Committee Chairs** receive quarterly honoraria payments directly from CPRIT. The honoraria payment process for Review Council chairs and Committee chairs is as follows:

1. At the end of the fiscal quarter, the Review Council chairs and Committee chairs submit to CPRIT a written confirmation of the work performed and an estimate of hours\* spent related to CPRIT's peer review activities for the quarter.
2. The CPRIT Program Officer reviews the confirmations and approves payment of quarterly honoraria to the Review Council chair and Committee chairs.
3. CPRIT's financial staff authorizes payment of the honoraria and retains the documentation supporting the honoraria payment.
4. The Chief Compliance Officer and Internal Auditor may also review the confirmations submitted.

\* NOTE: Honorarium is paid for the annual service of the Review Council chair or Committee chair. Payment is not based on an hourly wage structure; the estimated number of hours devoted to CPRIT activities by a Review Council or Committee chair may vary by quarter depending upon the timing of review cycle activities. The hourly estimate is used at the end of the year to set honoraria payment structures for the next fiscal year.

**Peer reviewers** are paid by CPRIT's third party grant administrator for each review cycle in which they participate. To document the work performed by a peer review committee member for the review cycle, CPRIT's third party grant administrator confirms that the reviewer attended the peer review meeting and submitted written comments and scores for the grants assigned to the reviewer for evaluation.

CPRIT also reimburses travel expenses and pays the Texas state per diem when peer reviewers and Review Council chairs and Committee chairs travel to attend peer review meetings. CPRIT relies upon standard travel documentation for travel reimbursements.

In the event a Review Council chair, Committee chair, or peer reviewer is not able to complete a full review cycle due to unforeseen circumstances, the CPRIT Program Officer may, in his or her discretion, approve a partial payment of the honorarium. The Program Officer should explain in writing the basis for approving a change to the reviewer's honorarium; such explanation will be retained by CPRIT. Nothing herein prevents the Program Officer from approving full payment even if the reviewer is unable to participate in every aspect of the review cycle so long as the reason is well justified.



## Peer Review Responsibilities

### Review Council Chairs

The Council Chair works directly with the CPRIT Program Officer to coordinate the peer review activities for each CPRIT program. The CPRIT model for peer review is unique. Other grant-making programs typically use committee chairs only to preside at committee meetings; however, CPRIT engages preeminent experts in their field for the Council Chair and Committee Chair positions to advise CPRIT on program aspects, including the short-term and long-term direction of the program, the review process itself, and the award portfolio composition. This work is done in addition to the administrative tasks associated with chairing Review Council meetings. Many of the Council Chair responsibilities are similar across the three CPRIT programs, including:

- advising on the selection of committee chairs
- assisting with peer reviewer selection
- reviewing all abstracts of projects that are to be discussed at Prevention, Scientific, and Product Development Review Council meetings
- chairing Review Council meetings
- chairing a peer review panel meeting if a chair has an unexpected conflict
- finalizing grant award recommendations to the Chief Executive Officer
- providing ongoing advice to CPRIT staff on programs, review processes, and future funding opportunities

Estimated Annual Time Commitment: Council Chairs are expected to commit approximately 240 hours to CPRIT-related activities in FY2016. This equates to 11.5% of a standard 2080 hour work year. **Table 1** provides a detailed analysis of the activities, hours, and units used to project the Council Chair workload. The information in Table 1 is based upon 2009 – 2015 review cycle information and the projected workload for FY 2016.

NOTE: In addition to the regular Council Chair duties in FY 2016, CPRIT anticipates that the Product Development Review Council Chair will perform services totaling approximately 60 additional hours. Examples of the additional activities include coordinating the review of annual progress reports and milestone funding decisions and providing expert advice and assistance related to CPRIT's product development portfolio and substantive grant contract amendment requests. In FY 2016 there is a need for a Product Development Review Council Deputy Chair position as there are now two review panels. This position is substantially equivalent to the Council Chair position except that the Deputy Chair will not prepare slate recommendation for the Chief Executive Officer, review draft RFAs, propose new RFAs, or analyze data for the Product Development program.

Hourly Rate Proxy: Honorarium is paid for the annual service of the Review Council chair and is not based on an hourly wage structure. However for comparison, the honoraria paid to Review Council chairs equate to a \$250/hour rate. This is in line with hourly rates paid for skilled professional services in other industries and less than the \$500/hour rate paid for medical experts



in malpractice cases.<sup>5</sup> The hourly rate used by CPRIT is also likely to be less than rates used to calculate consultant fees for physicians and scientists who advise pharmaceutical companies. Although there is no standard rate for consulting fees, one Texas institution of higher education limits the amount of consulting fees a professor may accept to 25% of their base salary. The capped amount is considerably greater than the \$60,000 - \$75,000 honoraria paid to CPRIT Review Council Chairs.

## Review Committee Chairs

Each peer review committee is led by a Committee Chair. The CPRIT model for peer review is unique. Other grant-making programs typically use committee chairs only to preside at committee meetings; CPRIT engages preeminent experts in their field for the Committee Chair positions to advise CPRIT on program aspects, including the short-term and long-term direction of the program, the review process itself, and the award portfolio composition. This work is done in addition to the administrative tasks associated with chairing peer review committee meetings. Committee Chairs are also members of the Review Council for the program. Duties of the committee chair include:

- recruiting reviewers for their review panels
- assigning applications to their panel members
- becoming familiar with the abstracts of all applications assigned to their panel
- determining order of review for applications for panel discussion
- chairing panel discussions
- reviewing full applications to participate in programmatic review meetings
- evaluating CPRIT Scholar recruitment grants (Scientific Review Committee chairs)
- assessing due diligence and intellectual property reports for product development applications (Product Development Review Committee chairs)
- ranking grant applications and developing a list of recommended grant awards and supporting information for consideration by the CPRIT Program Integration Committee
- reviewing annual progress reports and milestone funding decisions (Product Development review committee chairs)
- participating in meetings with CPRIT staff to provide advice on future program directions, processes, evaluation criteria, and other related issues

**Estimated Annual Time Commitment:** The amount of time spent on committee chair activities varies depending on the program. Scientific and Product Development Review Committee chairs are expected to commit approximately 200 hours to CPRIT-related activities in FY2016, and Prevention Review Committee chairs will commit 125 hours. **Table 2** provides a detailed analysis of the activities, hours, and units used to project the committee chair workload. The information in Table 2 is based upon 2009 – 2015 review cycle information and the projected workload for FY2016.

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<sup>5</sup> Data from *National Medical Consultants, P.C.*, a physician owned and operated company representing a panel of over 2700 medical experts who are distinguished specialists in all areas of medicine.

Hourly Rate Proxy: Honorarium is paid for the annual service of the Review Committee chair and is not based on an hourly wage structure. However for comparison, the honoraria paid to Committee chairs equates to a \$200/hour fee. This is in line with hourly rates paid for skilled professional services in other industries and less than the \$500/hour rate paid for medical experts in malpractice cases.<sup>6</sup> The hourly rate used by CPRIT is also likely to be less than rates used to calculate consultant fees for physicians and scientists who advise pharmaceutical companies. Although there is no standard rate for consulting fees, one Texas institution of higher education limits the amount of consulting fees a professor may accept to 25% of their base salary. The capped amount is considerably greater than the \$25,000 - \$40,000 honoraria paid to CPRIT Review Committee Chairs.

## **Review Committee Members**

The number of peer review committees varies by program, generally based on the volume of grant applications submitted. Peer reviewers are responsible for individually reviewing, scoring and critiquing 6-10 applications per cycle, as well as participating in panel discussions about grant applications assigned to the peer review committee. A full review of a single application generally takes a reviewer 6-8 hours, but substantially more time may be required for complex, highly technical applications. A typical CPRIT grant application averages about 40 pages in length with additional supporting documentation. Applications for multi-million dollar collaborative research projects and product development project may be much more extensive.

Estimated Time Commitment per Review Cycle: Peer reviewer activity varies by program and number of applications assigned. Academic research peer reviewers are expected to commit approximately 85 hours per review cycle. Prevention peer reviewers will commit 55-70 hours per cycle. Product Development peer reviewers will commit 100 hours per cycle. **Table 3** provides a detailed analysis of the activities, hours, and units used to project the peer review workload. The information in Table 3 is based upon 2009–2015 review cycle information and the projected workload for FY2016.

Hourly Rate Proxy: Honorarium is paid for the service of Academic Research and Prevention peer reviewers for a given review cycle and is not based on an hourly wage structure. However for comparison, honoraria paid to Academic Research and Prevention peer reviewers equates to a rate of \$50/hour. Honoraria paid to Product Development peer reviewers is \$65/hour. These reviewers must have both academic research and product development backgrounds and are more difficult to recruit. While the hourly rates are significantly less than those paid to professionals of this caliber, the rate is appropriate given the workload and responsibilities compared to Review Council and Committee chairs.

## **Comparison to other Grant Making Organizations**

Grant-making organizations use various models and methods for compensating peer review committee members. A survey of 21 cancer granting organizations reported wide variation among programs such that an average compensation scheme for panel members was not

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<sup>6</sup> Data from *National Medical Consultants, P.C.*, a physician owned and operated company representing a panel of over 2700 medical experts who are distinguished specialists in all areas of medicine.

possible. The disparity among organizations makes it difficult to devise a benchmark compensation method or amount. Reported compensation practices may fail to include intangible benefits available to reviewers in addition to monetary compensation, which further complicates the ability to make a meaningful comparison between CPRIT and other grant-making organizations. As discussed earlier, these non-monetary incentives are largely unavailable to CPRIT reviewers because of CPRIT's policy to use highly qualified, experienced, out-of-state reviewers.

- International Cancer Research Partners (ICRP) surveyed 31 of its partner organizations and 21 responded. The report found that organizations commonly paid different honoraria depending on the role of the reviewer. Chairs often received more than committee members, and teleconference or online reviewers typically received less compensation than those members who participated in-person. An average could not be computed on the basis of the supplied data.<sup>7</sup>
- CPRIT's third party grant administrator reports that two other clients pay reviewers \$1,250 and \$2,000 per review meeting.
- NCI's website reports that NCI pays \$200 per day of review in addition to travel expenses.

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<sup>7</sup> The report did not include a range but when the survey sponsors were asked they indicated the range for compensation for panel members was \$150-\$3,000 per day.

**Table 1. Council Chair Activities** (See Table 4 for an explanation of the correlation between units and hours.)

Table 1 - Review Council Chair Activities, Hours, Units						
Academic Research Review		Prevention Review		Product Development Review		
Units	Activity	Units	Activity	Units Chair	Deputy	Activity
5	Consult with staff on vision and direction for the program; bi-weekly calls with staff	5	Consult with staff on vision and direction for the program; bi-weekly calls with staff	5	5	Consult with staff on vision and direction for the program; bi-weekly calls with staff
2	Help select and recruit Committee Chairs	2	Help select and recruit Committee Chairs	2	2	Help select and recruit Committee Chairs
2	Advise on peer review and other processes as needed	2	Advise on peer review and other processes as needed	2	2	Advise on peer review and other processes as needed
4	Review draft RFAs, propose new ones, etc.	4	Review draft RFAs, propose new ones, etc.	6	0	Review draft RFAs, propose new ones, etc.
4	Communicate with Committee Chairs prior to peer review & programmatic mtg	1	Communicate with Committee Chairs prior to peer review & programmatic mtg	6	6	Communicate with Committee Chairs prior to peer review & programmatic mtg
4	Prepare for Programmatic meetings; review materials	2	Prepare for Programmatic meetings; review materials	4	4	Prepare for Programmatic meetings; review materials
2	Lead programmatic review	6	Lead programmatic review	5	5	Lead programmatic review
4	Prepare slate recommendations for ED	1	Prepare slate recommendations for ED	4	0	Prepare slate recommendations for ED
15	Review recruitment applications, become familiar with applications to be discussed	15	Review abstracts, attend portions of panel meetings, back up for panel Chair	12	12	Review abstracts, attend portions of panel meetings, back up for panel Chair
4	Lead quarterly discussion on recruitment awards	4	Collaborate on articles for publication	4	0	Analyze data for Product Development program
4	Analyze data for Research program	4	Analyze population and other data for Prevention program	12.5	12.5	Review annual and final progress reports, including milestone achievement reports, advise on activities of funded product development grants
50		4	Review Annual and Final progress reports	62.5	48.5	
\$ 1,200	Unit cost	50			\$1,200	Unit cost
\$ 250	Hourly rate	\$1,200	Unit cost		\$250	Hourly rate
<b>\$60,000</b>	Annual honoraria	\$250	Hourly rate	<b>\$75,000</b>		Annual honoraria Chair
		<b>\$60,000</b>	Annual honoraria	<b>\$58,200</b>		Annual honoraria Deputy Chair

**Table 2. Committee Chair Activities**

Table 2 - Committee Chair Activities, Hours, Units					
Academic Research Review		Prevention Review		Product Development Review	
Units	Activity	Units	Activity	Units	Activity
2	Select/recruit committee members	1	Select/recruit committee members	2	Select/recruit committee members
2	Review draft RFAs and provide input (as needed)	1	Review draft RFAs and provide input (as needed)	1	Review draft RFAs and provide input (as needed)
10	Read abstracts; assign grants to reviewers	10	Read abstracts assigned to their committee	15	Read abstracts assigned to their committee
1	Assist with follow up of delinquent reviewers	1	Assist with follow up of delinquent reviewers	1	Assist with follow up of delinquent reviewers
6	Chair the assigned committee review process via conference call or in person meeting	6	Chair the assigned committee review process via conference call or in person meeting	3	Chair the assigned Screening Teleconference committee via conference call
2	Prepare for Programmatic meetings; review materials	2	Prepare for Programmatic meetings; review materials	10	Chair the assigned committee review process via 2-day, in-person peer review meeting
2	Participate in Chair's programmatic review meetings	6	Participate in Chair's programmatic review & debriefing meetings	2	Participate in debriefing sessions, discussion of future direction of program, development of new RFAs
2	Participate in debriefing sessions, discussion of future direction of program, development of new RFAs	2	Participate in debriefing sessions, discussion of future direction of program, development of new RFAs	11	Review annual and final progress reports, including milestone achievement reports, advise on activities of funded product development grants.
15	Review recruitment applications				
3	Participate in quarterly review of recruitment applications				
45		29		45	
\$875	Unit cost	\$875	Unit cost	\$875	Unit cost
\$200	Hourly	\$200	Hourly	\$200	Hourly
\$39,375	<b>\$40 K</b> Annual honoraria	\$25,375	<b>\$25K</b> Annual honoraria	\$39,375	<b>\$40K</b> Annual honoraria

See Table 4 for an explanation of the correlation between units and hours.

**Table 3. Peer Reviewer Activities per Cycle**

Table 3 - Peer Reviewers Activity by Program					
Product Development Review:~30 reviewers		Prevention Review:~ 33 reviewers		Academic Research Review: ~ 105 reviewers	
Units	Activity	Units	Activity	Units	Activity
8	Preparation of full critiques	8	Preparation of full critiques	10	Preparation of critiques
2	Screening teleconference	3	one meeting by phone, one in- person	3	Travel to/from on-site meeting
3	Travel to/from on-site meeting	2	Participation at meeting	3	Participation at meeting
4	Participation at meeting	1	Post-meeting discussion	1	Post-meeting discussion
1	Post-meeting discussion				
1	Review of due diligence and intellectual property evaluations				
1	Teleconference discussion of due diligence and intellectual property evaluation				
	\$325 Unit cost \$65 avg. hourly rate \$6,500 per cycle		\$250 Unit cost \$50 avg. hourly rate \$2,750 teleconference \$3,500 in person per cycle		\$250 Unit cost \$50 avg. hourly rate \$4,250 per cycle

See Table 4 for an explanation of the correlation between units and hours.

**NOTE:** As reflected in the table, key activities are assigned a unit cost. Peer reviewers are paid only for activities in which they participate. For example, participation at an in-person research peer review meeting is 3 units (11-15 hours) and each unit is valued at \$250; thus, the amount paid to a research peer reviewer for attendance at an in-person meeting is \$750. If the reviewer was unable to attend the meeting, then \$750 would be subtracted from the honorarium paid to the reviewer. In the event a Review Council chair, Committee chair, or peer reviewer is not able to complete a full review cycle due to unforeseen circumstances, the CPRIT Program Officer may, in his or her discretion, approve a partial payment of the honorarium.

**Table 4. Hours and Units Calculation**

PARTICIPATION (HOURS)	UNITS		Council Chairs	Committee Chairs	Peer reviewers
1-5	1		Unit Cost		
6-10	2		\$1200	\$875	\$250-\$325
11-15	3		Average Hourly Rate		
16-20	4		\$250	\$200	\$50-\$65
21-25	5		Honoraria		
26-30	6		\$60 - \$75K annually	\$25 - \$40K Annually	\$2,750 - \$6,500 per cycle
31-35	7				
36-40	8				
41-45	9				
46-50	10				
51-55	11				
56-60	12				
61-65	13				
66-70	14				
71-75	15				







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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**  
**From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: SECTION 102.1062 WAIVER – MARGARET L. KRIPKE, PH.D.**  
**Date: August 11, 2015**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a renewal of the conflict of interest waiver for FY 2016 for Dr. Margaret L. Kripke, CPRIT's Chief Scientific Officer, pursuant to Health & Safety Code Section 102.1062 "Exceptional Circumstances Requiring Participation." The Oversight Committee approved the same waiver for Mr. Montgomery that was effective during FY2015. The waiver is necessary for Dr. Kripke to continue to effectively perform her duties as Chief Scientific Officer. Together with the waiver's proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

**Background**

Dr. Kripke's husband, Dr. Isaiah J. Fidler, is employed by The University of Texas M. D. Anderson Cancer as a professor in the Department of Cancer Biology and holds an endowed chair.<sup>1</sup> Therefore, Dr. Kripke continues to have the same conflict of interest and requires a renewal of the conflict of interest waiver for the 2016 fiscal year. The recommendations and limitations in the waiver renewal remain the same as previously approved by the Oversight Committee for the 2014 and 2015 fiscal years.

Health & Safety Code Section 102.106(c)(3) mandates that a professional conflict of interest exists if a CPRIT employee's spouse is an employee of an entity applying to receive or receiving CPRIT funds. Furthermore, CPRIT's administrative rule 702.13(c) categorizes this type of professional conflict of interest as one that raises the presumption that the existence of the conflict may affect the impartial review of all other grant applications submitted pursuant to the same grant mechanism in the grant review cycle. A person involved in the review process that holds one of conflicts included in the Section 702.13(c) "super conflict" category must be recused from participating in the "review, discussion, scoring, deliberation and vote on all grant

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<sup>1</sup> Dr. Fidler does not have a recognized administrative or leadership position at M.D. Anderson, nor has he ever applied for or received CPRIT funding.

applications competing for the same grant mechanism in the entire grant review cycle, unless a waiver has been granted...”

Due to M.D. Anderson’s wide-ranging involvement in cancer prevention and cancer research activities in Texas it is reasonable to expect that the same conflict will affect Dr. Kripke’s participation in more than one grant review cycle in this fiscal year as well as other grant monitoring activities she will undertake. CPRIT’s administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

### **Exceptional Circumstances Requiring Dr. Kripke’s Participation**

In order to approve a waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual’s participation in the review process. As explained below, there are compelling reasons warranting Dr. Kripke’s continued participation in the review process when she would otherwise be excluded because of the conflict. The proposed limitations and CPRIT’s existing process and procedures will substantially mitigate any potential for bias.

One of the principal duties for a CPRIT program officer is serving as the Oversight Committee’s expert-in-residence for his or her particular grant program. Dr. Kripke is a respected scientist and administrator who has been recognized both nationally and internationally for her work as a cancer researcher. Her nine-year tenure on the President’s Cancer Panel has given her a comprehensive overview of the cancer problem and exceptional insight into the needs and future directions of cancer research. She was recruited to CPRIT as its Chief Scientific Officer following an extensive national search and was deemed to be an ideal candidate for the position.

Dr. Kripke’s expertise and experience is important not only to address scientific and technical questions but also when she act as the Oversight Committee’s “eyes and ears” into the peer review process. Peer review committees are primarily responsible for the work necessary to evaluate grant applications and recommend awards. CPRIT employees may attend peer review meetings but are expressly prohibited from actively participating in the peer review panel’s discussion or scoring of grant applications. By attending the peer review committee meetings, Dr. Kripke will continue to credibly relay the peer reviewers’ impression of the grant applications and to effectively address questions the Oversight Committee may have related to a grant recommendation. Without the waiver Dr. Kripke will be unable to attend peer review committee meetings and effectively perform her job.

Dr. Kripke’s attendance at peer review meetings is valuable even for those applications that are not recommended for a grant award. Grant applicants often contact the program officer after receiving the peer reviewers’ written comments and overall score for their applications. Because Dr. Kripke was able to attend the peer review committee meeting when the application was

discussed, she will be able to provide meaningful guidance and feedback to the applicant on the proposal's strengths and weaknesses.

Another important role for the program officer is to recruit and retain members of the program's review council. These review council members serve as strategic advisors for CPRIT's grant programs as well as being responsible for recruiting high-quality reviewers to the peer review committees chaired by each council member. Texas has established a gold-standard peer review process directly dependent on CPRIT's scientific leader, the Chief Scientific Officer. Dr. Kripke's stature in the cancer research arena provides Texas access to the premier cancer researchers in the world—since these are Dr. Kripke's peers. The Chairs of CPRIT review panels are all highly distinguished in their respective fields and bring enormous stature to the peer review process. Having panel chairs of this caliber distinguishes CPRIT's peer review process from all others.

The review council members and peer reviewers that serve on the CPRIT peer review panels are ineligible to receive CPRIT awards; a main attraction to serving as CPRIT peer reviewers is the opportunity for intellectual interactions with their scientific colleagues. These interactions do not occur without the leadership of the Chief Scientific Officer, Dr. Kripke.

### **Proposed Waiver and Limitations**

In granting the waiver of the conflict of interest set forth in Section 102.106(c)(3), I recommend that Dr. Kripke be permitted to continue to perform the following activities and duties of the Chief Scientific Officer:

1. Assign grant applications, including M.D. Anderson grant applications, to various peer review committees for peer review evaluation;
2. Attend scientific research peer review committee meetings as an observer, including meetings where M.D. Anderson application are discussed;
3. Attend and participate fully in the Program Integration Committee (PIC) meetings, subject to the limitation set forth under "Limitations."
4. Have access to grant application information developed during the grant review process, including information related to M.D. Anderson applications;
5. Provide information about grant applications recommended for grant awards to the Oversight Committee or CPRIT personnel, including answering questions raised by the Oversight Committee or CPRIT personnel about M.D. Anderson grant applications. To the extent that information is provided by Dr. Kripke on her own initiative (e.g. the Chief Scientific Officer's summary of the recommended awards) and not in response to a specific question or request, it should be general information related to the overall grant application process and not advocate specifically for grant application submitted by M.D. Anderson.

6. Following the Oversight Committee's approval of a grant award to M.D. Anderson by the Oversight Committee, Dr. Kripke may review and approve programmatic requests associated with M.D. Anderson grant contracts and grant monitoring activities.

With regard to item number 2, Dr. Kripke will be required to follow CPRIT's established policy that CPRIT employees are prohibited from actively participating in peer review committee meetings. This means that Dr. Kripke may attend the peer review committee meetings as an observer, but may not participate in the substantive discussion of any grant application, may not score any application, and may not vote on any application. CPRIT contracts with an independent third-party observer to document that CPRIT's observer policy is followed. The independent third-party observer report will be made available to the Oversight Committee prior to any action taken related to the grant award recommendations. Following Oversight Committee action, the independent third-party observer report will be publicly available.

### **LIMITATION ON DUTIES AND ACTIVITIES**

Dr. Kripke is a member of the PIC. As a PIC member, Dr. Kripke is called upon to exercise discretion related to whether applications proposed for grant awards by the peer review committees should be recommended to the Oversight Committee for final approval. Dr. Kripke shall not vote on any award recommendations related to M.D. Anderson.

CPRIT's Compliance Officer is statutorily required to attend PIC meetings to document compliance with CPRIT's rules and processes, including adherence to this limitation.

### **Important Information Regarding this Waiver and the Waiver Process**

- The Oversight Committee may amend, revoke, or revise this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request. To the extent that Dr. Kripke has a conflict of interest with an application that is not the conflict identified in Section 102.106(c)(3), then Dr. Kripke will follow the required notification and recusal process.



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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE CHAIR DR. WILLIAM RICE**  
**From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: SECTION 102.1062 WAIVER – KIRK COLE**  
**Date: AUGUST 11, 2015**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2016 for Program Integration Committee (PIC) member DSHS Interim Commissioner Kirk Cole, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The Oversight Committee approved the same waiver for Commissioner Cole that was effective during FY2015. The waiver is necessary for Commissioner Cole to participate in CPRIT’s review process as a PIC member. Together with the waiver’s proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

**Background**

Mr. Cole was appointed Interim Commissioner of the Department of State Health Services (DSHS) in January, 2015. The DSHS Commissioner is a statutorily designated member of the PIC. As a PIC member, Commissioner Cole is called upon to exercise discretion related to whether applications proposed for grant awards by the peer review committees should be recommended to the Oversight Committee for final approval.

DSHS is a CPRIT grant recipient, which implicates conflict of interest concerns. Health & Safety Code Section 102.106(c)(3) mandates that a professional conflict of interest exists if a PIC member is an employee of an entity applying to receive or receiving CPRIT funds. Furthermore, CPRIT’s administrative rule 702.13(c) categorizes this type of professional conflict of interest as one that raises the presumption that the existence of the conflict may affect the impartial review of all other grant applications submitted pursuant to the same grant mechanism in the grant review cycle. A person involved in the review process that holds one of the conflicts included in the Section 702.13(c) “super conflict” category must be recused from participating in the “review, discussion, scoring, deliberation and vote on all grant applications competing for the same grant mechanism in the entire grant review cycle, unless a waiver has been granted...”

CPRIT’s administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year. The

recommendations and limitations in Commissioner Cole's waiver remain the same as previously approved by the Oversight Committee for FY 2015.

### **Exceptional Circumstances Requiring Commissioner Cole's Participation**

In order to approve a conflict of interest waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process. Commissioner Cole's participation in the review process is compelled by the statute. In order to fulfill legislative intent that the DSHS Commissioner serve as a PIC member, the proposed waiver must be granted. The proposed limitations will substantially mitigate any potential for bias.

### **Proposed Waiver and Limitations**

In granting the waiver of the conflict of interest set forth in Section 102.106(c)(3), I recommend that Commissioner Cole be permitted to continue to perform the following activities and duties associated with CPRIT's review process subject to the stated limitations:

1. Attend and participate fully in the PIC meetings except that Commissioner Cole shall not participate in the PIC's discussion or vote on grant award recommendations to be made to DSHS;
2. Have access to grant application information developed during the grant review process, except for information related to DSHS applicants, if any; and
3. Provide information to the Oversight Committee or CPRIT personnel about the grant review process and applications recommended by the PIC for grant awards, including answering questions raised by the Oversight Committee or CPRIT personnel. To the extent that information is provided by Commissioner Cole on his own initiative in a review cycle in which DSHS is a grant applicant, the information provided by Commissioner Cole should be general information related to the overall grant application process and not advocate specifically for a grant application submitted by DSHS.

CPRIT's Compliance Officer is statutorily required to attend PIC meetings to document compliance with CPRIT's rules and processes, including adherence to this limitation. The Compliance Officer shall report to the Oversight Committee any violation of this waiver prior to the Oversight Committee's action on the PIC recommendations.

### **Important Information Regarding this Waiver and the Waiver Process**

- The Oversight Committee may amend, revoke, or revise this waiver, including but not limited to the list of approved activities and duties and the limitations on duties

and activities. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.

- This waiver is limited to the conflict of interest specified in this request. To the extent that Commissioner Cole has a conflict of interest with an application that is not the conflict identified in Section 102.106(c)(3), then Commissioner Cole will follow the required notification and recusal process.







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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE CHAIR DR. WILLIAM RICE**  
**From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: SECTION 102.1062 WAIVER – WILL MONTGOMERY**  
**Date: AUGUST 11, 2015**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2016 for Mr. Will Montgomery, CPRIT Oversight Committee member, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The only changes to the waiver previously approved by the Oversight Committee is the addition of six entities to the list of grant applicants and grant recipients that employ Mr. Montgomery’s law firm. The waiver is necessary for Mr. Montgomery to fully participate in the grant award approval process. Together with the waiver’s proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

**Background**

Mr. Montgomery is a partner at Jackson Walker L.L.P., a long-time, Texas-based law firm that employs more than 350 attorneys. Mr. Montgomery’s legal practice focuses on disputes related to the financial services industry, including regulatory investigations, enforcement proceedings, and internal investigations relating to securities, options, derivatives, commodities and futures. Mr. Montgomery does not personally represent CPRIT grant recipients; however, some lawyers employed by Jackson Walker provide legal services to the following grant applicants and grant recipients:

- Rice University
- Texas A & M University System
- Texas A & M System Technology Commercialization
- Texas A & M Institute for Biosciences & Technology
- Methodist Hospital System (Houston)
- UT Southwestern
- UT School of Public Health
- UT Medical Branch, Galveston
- Children's Medical Center Research Institute
- UT San Antonio

- UT Austin
- UT Health Science Center at Houston
- Texas Association of Nurse Anesthetists
- University General Health system
- MHMR Tarrant County
- Texas Tech University
- UNT Health Science Center
- Baylor University

Health & Safety Code Section 102.106(c)(4) mandates that a professional conflict of interest exists if an Oversight Committee member represents an entity applying to receive or receiving CPRIT funds. Similarly, Texas Administrative Code Section 702.11(d) finds that there is a professional conflict of interest if an Oversight Committee member “represents in business or law an entity receiving or applying to receive money from the Institute...”

The entities listed above were clients of the law firm prior to Mr. Montgomery’s appointment to the Oversight Committee. Although Mr. Montgomery does not perform legal work for these entities or supervise anyone who does so, he has previously recused himself from participating in the grant award process related to these entities out of an abundance of caution. He does not have an economic interest in the revenues associated with these entities paid to Jackson Walker, aside from his position as a partner of the firm. However, Mr. Montgomery’s percentage of ownership interest in the law firm is not impacted whether or not these entities are clients of the firm.

It is reasonable to expect that the same conflict will affect Mr. Montgomery’s participation in more than one grant review cycle in the 2016 fiscal year as well. CPRIT’s administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

### **Exceptional Circumstances Requiring Mr. Montgomery’s Participation**

In order to approve a waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual’s participation in the review process. There are compelling reasons warranting Mr. Montgomery’s participation in the review process when he would otherwise be excluded because of the conflict. One of the principal duties for an Oversight Committee member is to approve grant award recommendations submitted by the Program Integration Committee. The statute requires a two-thirds vote of the Oversight Committee to approve a grant award. The vast majority of CPRIT’s grant applicants and grant recipients are academic institutions, including many of the entities listed above. Excluding Mr. Montgomery from participation in the decision-making process related to grant awards reduces the number of Oversight Committee members that are able to perform the critical task of reviewing information about potential grantees and the review process associated with the grant recommendations.

The proposed limitations and CPRIT's existing process and procedures will substantially mitigate any potential for bias.

### **Proposed Waiver and Limitations**

In granting the waiver of the conflict of interest set forth in Health & Safety Code Section 102.106(c)(4), I recommend that Mr. Montgomery be permitted to participate in the review process for applications submitted by the following entities, subject to the limitations stated below:

- Rice University
- Texas A & M University System
- Texas A & M System Technology Commercialization
- Texas A & M Institute for Biosciences & Technology
- Methodist Hospital System (Houston)
- UT Southwestern
- UT School of Public Health
- UT Medical Branch, Galveston
- Children's Medical Center Research Institute
- UT San Antonio
- UT Austin
- UT Health Science Center at Houston
- Texas Association of Nurse Anesthetists
- University General Health system
- MHMR Tarrant County
- Texas Tech University
- UNT Health Science Center
- Baylor University

### **Important Information Regarding this Waiver and the Waiver Process**

- The Oversight Committee may amend, revoke, or revise this waiver. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request, Health & Safety Code Section 102.106(c)(4). To the extent that Mr. Montgomery has a conflict of interest with an application submitted by an entity listed herein that is not the conflict identified in Section 102.106(c)(4), then Mr. Montgomery will follow the required notification and recusal process.
- The waiver is limited to the entities specified in the request and based upon the circumstances stated herein. If circumstances change such that Mr. Montgomery is

required to personally represent one of the entities listed herein or to supervise the work of someone representing the entity, he will notify the Chief Executive Officer and the presiding officer of the Oversight Committee.



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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**  
**From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: SECTION 102.1062 WAIVER – AMY MITCHELL**  
**Date: AUGUST 11, 2015**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2016 for Ms. Amy Mitchell, CPRIT Oversight Committee member, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The waiver is necessary for Ms. Mitchell to fully participate in the grant award approval process. Together with the waiver’s proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

**Background**

Ms. Mitchell is Senior Counsel at Norton Rose Fulbright, an international law firm with 3800 attorneys. Her practice focuses on matters related to improved and unimproved real property including sales and acquisitions, leases, ground leases, subleases, real estate financing, real estate development, environmental issues affecting real property, construction matters for owners, general contractors and subcontractors, and the formation of entities to acquire, develop, finance and operate real property. Ms. Mitchell does not personally represent CPRIT grant recipients; however, some lawyers employed by Norton Rose Fulbright provide legal services to the following grant applicants and grant recipients:

- University Health System
- University of Texas at Austin, Arlington, Brownsville, Dallas, and El Paso
- University of Texas-Pan American
- University of Texas of the Permian Basin
- University of Texas Medical Branch at Galveston
- University of Texas Health Science Center at San Antonio
- University of Texas M.D. Anderson Cancer Center
- University of Texas Southwestern Medical Center
- University of Texas Health Science Center at Houston, and Tyler
- Angelo State University
- University of Houston

- University Houston-Clear Lake, Downtown, and Victoria,
- Baylor University
- Baylor College of Medicine
- Baylor Research Institute
- Methodist Hospital Research Institute
- Rice University
- Texas Tech University
- Texas Tech University Health Science Center
- Texas A&M University
- Prairie View A&M University
- Texas A&M University Commerce, Kingsville, Corpus Christi, Texarkana, Central Texas, and San Antonio
- Tarleton State University
- West Texas A&M University
- Texas A&M International University
- Texas A&M University Health Science Center
- Texas A&M University System
- Texas A&M Health Science Center
- Texas A&M Engineering Experiment Station
- Texas A&M Agrilife Extension Services
- Texas A&M Agrilife Research

Health & Safety Code Section 102.106(c)(4) mandates that a professional conflict of interest exists if an Oversight Committee member represents an entity applying to receive or receiving CPRIT funds. Similarly, Texas Administrative Code Section 702.11(d) finds that there is a professional conflict of interest if an Oversight Committee member “represents in business or law an entity receiving or applying to receive money from the Institute...”

The entities listed above were clients of the law firm prior to Ms. Mitchell’s appointment to the Oversight Committee. Although Ms. Mitchell does not perform legal work for these entities or supervise anyone who does so, she has previously recused herself from participating in the grant award process related to these entities out of an abundance of caution. She does not have an economic interest in the revenues associated with these entities paid to Norton Rose Fulbright, aside from her position as Senior Counsel at the firm.

It is reasonable to expect that the same conflict will affect Ms. Mitchell’s participation in more than one grant review cycle in this fiscal year as well. CPRIT’s administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

## **Exceptional Circumstances Requiring Ms. Mitchell's Participation**

In order to approve a waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process. There are compelling reasons warranting Ms. Mitchell's participation in the review process when she would otherwise be excluded because of the conflict. One of the principal duties for an Oversight Committee member is to approve grant award recommendations submitted by the Program Integration Committee. The statute requires a two-thirds vote of the Oversight Committee to approve a grant award. The vast majority of CPRIT's grant applicants and grant recipients are academic institutions, including many of the entities listed above. Excluding Ms. Mitchell from participation in the decision-making process related to grant awards reduces the number of Oversight Committee members that are able to perform the critical task of reviewing information about potential grantees and the review process associated with the grant recommendations.

The proposed limitations and CPRIT's existing process and procedures will substantially mitigate any potential for bias.

## **Proposed Waiver and Limitations**

In granting the waiver of the conflict of interest set forth in Health & Safety Code Section 102.106(c)(4), I recommend that Ms. Mitchell be permitted to participate in the review process for applications submitted by the following entities, subject to the limitations stated below:

- University Health System
- University of Texas at Austin, Arlington, Brownsville, Dallas, and El Paso
- University of Texas-Pan American
- University of Texas of the Permian Basin
- University of Texas Medical Branch at Galveston
- University of Texas Health Science Center at San Antonio
- University of Texas M.D. Anderson Cancer Center
- University of Texas Southwestern Medical Center
- University of Texas Health Science Center at Houston, and Tyler
- Angelo State University
- University of Houston
- University Houston-Clear Lake, Downtown, and Victoria,
- Baylor University
- Baylor College of Medicine
- Baylor Research Institute
- Methodist Hospital Research Institute
- Rice University
- Texas Tech University

- Texas Tech University Health Science Center
- Texas A&M University
- Prairie View A&M University
- Texas A&M University Commerce, Kingsville, Corpus Christi, Texarkana, Central Texas, and San Antonio
- Tarleton State University
- West Texas A&M University
- Texas A&M International University
- Texas A&M University Health Science Center
- Texas A&M University System
- Texas A&M Health Science Center
- Texas A&M Engineering Experiment Station
- Texas A&M Agrilife Extension Services
- Texas A&M Agrilife Research

### **Important Information Regarding this Waiver and the Waiver Process**

- The Oversight Committee may amend, revoke, or revise this waiver. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request, Health & Safety Code Section 102.106(c)(4). To the extent that Ms. Mitchell has a conflict of interest with an application submitted by an entity listed herein that is not the conflict identified in Section 102.106(c)(4), then Ms. Mitchell will follow the required notification and recusal process.
- The waiver is limited to the entities specified in the request and based upon the circumstances stated herein. If circumstances change such that Ms. Mitchell is required to personally represent one of the entities listed herein or to supervise the work of someone representing the entity, she will notify the Chief Executive Officer and the presiding officer of the Oversight Committee.





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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**  
**From: WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: SECTION 102.1062 WAIVER—DONALD BRANDY**  
**Date: AUGUST 11, 2015**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2016 for Mr. Donald Brandy, CPRIT's Purchaser and HUB Coordinator, pursuant to Health & Safety Code Section 102.1062 "Exceptional Circumstances Requiring Participation." The Oversight Committee approved the same waiver for Mr. Brandy that was effective during FY2015.

Mr. Brandy is not involved in the grant application or reporting process in his official capacity as purchaser of goods and services for the agency. However, the waiver ensures transparency regarding Mr. Brandy's relationship with some universities that receive CPRIT grants. Furthermore, CPRIT's Code of Conduct makes it clear that the agency's conflict of interest provisions apply to any expenditure of CPRIT funds. Although it is unlikely that CPRIT will procure goods and services from a university receiving grant funds from CPRIT, having the conflict of interest waiver in place ensures that Mr. Brandy can perform his duties. Together with the waiver's proposed limitations, adequate protections are in place to mitigate the opportunity for a conflict of interest to unduly influencing agency purchases.

**Background**

Mr. Brandy serves as the agency purchaser, responsible for planning, organizing, coordinating, and preparing bid specifications and procurement documents to acquire goods and services from vendors and outside contractors used by the agency. The agency purchaser role requires little, if any, involvement with CPRIT's grant award process because CPRIT's grant award contracts are not considered vendor or outside service contracts.

At the time that he was hired, Mr. Brandy requested approval to continue his outside employment as a referee for tennis tournaments held in and around Austin. In addition to refereeing for adult and junior-level tournaments, he serves occasionally as a referee for NCAA tennis matches held at area universities, including The University of Texas at Austin. Mr. Brandy is paid for his services as an independent contractor by the university athletic department when he referees collegiate matches.

CPRIT employees may engage in outside employment so long as the employment does not detract from the employee's ability to reasonably fulfill his or her responsibilities to CPRIT. Employees must receive written approval from the CEO to engage in outside employment and I am required to notify the Audit Subcommittee regarding any approvals and to annually report all approved outside employment. I notified the Audit Subcommittee regarding my approval for Mr. Brandy's outside employment and it was discussed at the December 18, 2014, subcommittee meeting.

### **Exceptional Circumstances Requiring Mr. Brandy's Participation**

In order to approve a conflict of interest waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process or other expenditure of CPRIT funds.<sup>1</sup>

This conflict of interest waiver is different than other waivers I have requested in that it is not seeking a waiver for actions related to CPRIT's grant review or grant monitoring process. As CPRIT's purchaser, I do not anticipate that Mr. Brandy will play any role in the review process for grant applications or grant reports. The purchaser deals only with agency procurement matters and has no influence over the grant award processes of the agency. To the extent that his outside employment necessitates involvement with university personnel, it is with collegiate athletic department staff that have no interaction with researchers working on or applying for grants. Nevertheless, if Mr. Brandy must be part of the review process or grant monitoring activities in the future, he will comply with CPRIT's conflict of interest notification and recusal requirements.

However, during the course of his official duties there may be circumstances requiring Mr. Brandy to procure goods or services on CPRIT's behalf from a university that has also employed him as a tennis referee. This is unlikely to occur; to date, CPRIT has only one services contract with an academic institution, Texas Tech University. However, as CPRIT's lead contact for agency purchases, Mr. Brandy should be allowed to perform his official duties to the fullest extent possible. Any involvement with university athletic department personnel resulting from his outside employment is unlikely to be the same individuals at the university responsible for contracting with CPRIT.

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<sup>1</sup> CPRIT's Code of Conduct Section III.B(2) states that, "The conflict of interest statutory and administrative rule provisions **apply to any decision to commit CPRIT funds**, whether or not the commitment is part of the grant award process or to a Grant Applicant." (emphasis added)

## **Proposed Waiver and Limitations**

In granting the waiver of the conflict of interest set forth in Health & Safety Code Section 102.106(c)(3), I recommend that Mr. Brandy be permitted to perform all duties assigned as purchaser, subject to the limitations stated below:

1. Provide the Chief Operating Officer a list of universities that have used his services as referee during the past twelve months;
2. Notify the Chief Operating Officer prior to taking any action on a contract or other procurement document that would result in payment of CPRIT funds to a university on the list referenced above; and
3. The Chief Operating Officer, in conjunction with the CEO, Chief Compliance Officer and General Counsel, can review the circumstances and determine whether Mr. Brandy should be recused from involvement in the procurement.

## **Important Information Regarding this Waiver and the Waiver Process**

- The Oversight Committee may amend, revoke, or review this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval of any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request. To the extent that Mr. Brandy has a conflict of interest not address in this waiver, then Mr. Brandy will follow the required notification and recusal process.





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**

**From: AMY MITCHELL, CHAIR, BOARD GOVERNANCE  
SUBCOMMITTEE**

**Subject: INTENTION TO RECOMMEND APPROVAL OF FINAL ORDER  
ADOPTING CHANGES TO ADMINISTRATIVE RULES**

**Date: AUGUST 11, 2015**

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**Summary and Recommendation**

The Board Governance Subcommittee recommends that the Oversight Committee approve a final order adopting changes to 25 T.A.C. Chapter 703. The proposed changes to §§ 703.7 and 703.8 establish a deferral process for the Program Integration Committee (PIC) and the Oversight Committee. The changes were published in the *Texas Register* on June 5, 2015, and made available for public comment for 30 days. No comments from the public were received. The Board Governance Subcommittee reviewed the final order with CPRIT's General Counsel at its meeting on August 6, 2015.

**Discussion**

At the April 20, 2015, Oversight Committee meeting, CPRIT CEO Wayne Roberts directed staff to develop a process for the Oversight Committee's consideration that allows the PIC or the Oversight Committee to defer a final decision on a grant recommendation until a future meeting date. The proposed rule changes outline the process.

The proposed rule changes are in accord with the statutory requirement that an application is eligible to be considered for an award only in the same fiscal year in which it was originally recommended by the review council. A deferred application that is left pending by the PIC or the Oversight Committee at the end of the fiscal year must be resubmitted to be considered for an award in the next fiscal year. In that event, the resubmission would not count against the applicant's resubmission limit.

The Board Governance Subcommittee has reviewed the final order and recommends approval by the Oversight Committee. The final order will become effective 20 days after it is filed with the Secretary of State.



## **TITLE 25. HEALTH SERVICES**

### **PART 11. CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**

#### **CHAPTER 703. Grants for Cancer Prevention and Research**

The Cancer Prevention and Research Institute of Texas (“CPRIT” or “the Institute”) adopts the amendments to §§ 703.7 and 703.8. The proposed amendments for Chapter 703 were published in the June 5, 2015, issue of the *Texas Register* (40 TexReg 3544, 3545).

#### **Reasoned Justification**

Texas Health and Safety Code § 102.251 provides rules for grant award procedures but does not include a process to defer grant award recommendations. The proposed amendments detail a process for both the Program Integration Committee and Oversight Committee to defer, with a stated explanation, grant awards within a fiscal year. With the proposed process, the Institute would be able to manage the potential for proposed grant award recommendations exceeding available grant funding for the year.

#### **Summary of Public Comments and Staff Recommendations**

The Institute accepted public comments in writing and by fax through July 6, 2015. No public comments were received. The amendments to Chapter 703 will be adopted as published in the June 5, 2015, edition of the *Texas Register* and will not be republished.

#### **Certification**

The Institute hereby certifies that the adoption has been reviewed by legal counsel and found to be a valid exercise of the agency’s legal authority.

To be filed with the Office of Secretary of State on August 21, 2015.







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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**RULE §703.7 Program Integration Committee Funding Recommendation**

(a) The Institute uses a Program Review process undertaken by the Institute's Program Integration Committee to identify and recommend for funding a final list of meritorious Cancer Research projects, including those projects with Cancer Research Product Development prospects, and evidence-based Cancer Prevention and Control Program projects that are in the best overall interest of the State.

(b) Program Review shall be conducted pursuant to the requirements set forth in Chapter 702 of this title (relating to Institute Standards on Ethics and Conflicts, Including the Acceptance of Gifts and Donations to the Institute) and Chapter 102, Texas Health and Safety Code.

(c) The Program Integration Committee shall meet pursuant to a schedule established by the Chief Executive Officer, who serves as the Committee's presiding officer, to consider the prioritized list of Grant Applications submitted by the Prevention Review Council, the Product Development Review Council, or the Scientific Review Council.

(d) The Program Integration Committee shall approve by a majority vote a final list of Grant Applications recommended for Grant Awards to be provided to the Oversight Committee, including a list of Grant Applications, if any, that have been deferred until a future meeting of the Program Integration Committee. In composing the final list of Grant Applications recommended for Grant Award funding, the Program Integration Committee shall:

- (1) Substantially base the list upon the Grant Award recommendations submitted by the Review Council.
- (2) To the extent possible, give priority for funding to Grant Applications that:
  - (A) Could lead to immediate or long-term medical and scientific breakthroughs in the area of Cancer Prevention or cures for cancer;
  - (B) Strengthen and enhance fundamental science in Cancer Research;
  - (C) Ensure a comprehensive coordinated approach to Cancer Research and Cancer Prevention;
  - (D) Are interdisciplinary or interinstitutional;
  - (E) Address federal or other major research sponsors' priorities in emerging scientific or Technology fields in the area of Cancer Prevention, or cures for cancer;
  - (F) Are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;

- (G) 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;
  - (H) Have a demonstrable economic development benefit to this state;
  - (I) 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;
  - (J) 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
  - (K) Address the goals of the Texas Cancer Plan.
- (3) Document the factors considered in making the Grant Award recommendations, including any factors not listed in paragraph (2) of this subsection;
- (4) Explain in writing the reasons for not recommending a Grant Application that was recommended for a Grant Award by the Review Council or for deferring a Grant Application recommendation until a future meeting date;
- (5) Specify the amount of Grant Award funding for each Grant Application.
- (A) Unless otherwise specifically stated, the Program Integration Committee adopts the changes to the Grant Award amount recommended by the Review Council.
  - (B) If the Program Integration Committee approves a change in the Grant Award amount that was not recommended by the Review Council, then the Grant Award amount and a written explanation for the change shall be provided.
- (6) Specify changes, if any, to the Grant Application's goals and objectives or timeline recommended for a Grant Award and provide an explanation for the changes made; and
- (7) Address how the funding recommendations meet the annual priorities for Cancer Prevention, Cancer Research and Product Development programs and affect the Institute's overall Grant Award portfolio established by the Oversight Committee.
- (e) In the event that the Program Integration Committee's vote on the final list of Grant Award recommendations or deferrals is not unanimous, then the Program Integration Committee Member or Members not voting with the majority may submit a written explanation to the Oversight Committee for the vote against the final list of Grant Award recommendations or

deferrals. The explanation may include the Program Integration Committee Member or Members' recommended prioritized list of Grant Award recommendations or deferrals.

(f) The Program Integration Committee's decision to not include a Grant Application on the prioritized list of Grant Applications submitted to the Oversight Committee is final. A Grant Application not included on the prioritized list created by the Program Integration Committee shall not be considered further during the Grant Review Cycle, except for the following:

(1) In the event that the Program Integration Committee's vote on the final list of Grant Award recommendations is not unanimous, then, upon a motion of an Oversight Committee Member, the Oversight Committee may also consider the Grant Award recommendations submitted by the non-majority Program Integration Committee Member or Members; ~~or~~

(2) A finding of an undisclosed Conflict of Interest as set forth in §703.9 of this chapter (relating to Limitation on Review of Grant Process); or

(3) A decision by the Program Integration Committee to defer a decision to include a Grant Application on the prioritized list of Grant Applications submitted to the Oversight Committee until a future meeting of the Program Integration Committee, subject to subsection (k).

(g) The Chief Compliance Officer shall attend and observe Program Integration Committee meetings to document compliance with Chapter 102, Texas Health and Safety Code and the Institute's administrative rules.

(h) At the time that the Program Integration Committee'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 Program Integration Committee containing relevant information related to the Grant Application recommendation.

(1) Information to be provided in the Chief Executive Officer's affidavit may include:

(A) The Peer Review process for the recommended Grant Application, including:

(i) The Request for Applications applicable to the Grant Application;

(ii) The number of Grant Applications submitted in response to the Request for Applications;

(iii) The name of the Peer Review Panel reviewing the Grant Application;

(iv) Whether a preliminary review process was used by the Peer Review Panel for the Grant Mechanism in the Grant Review Cycle;

(v) An overview of the Conflict of Interest process applicable to the Grant Review Cycle noting any waivers granted; and

- (vi) A list of all final Overall Evaluation Scores for all Grant Applications submitted pursuant to the same Grant Mechanism, de-identified by Grant Applicant;
  - (B) The final Overall Evaluation Score and Numerical Ranking Score assigned for the Grant Applications recommended during the Peer Review process; and
  - (C) A high-level summary of the business operations and management due diligence and intellectual property reviews, if applicable, conducted for a Cancer Research Product Development Grant Application.
- (2) In the event that the Program Integration Committee's final Grant Award recommendations are not unanimous and the Program Integration Committee Member or Members in the non-majority recommend Grant Applications not included on the final list of Grant Award recommendations, then the Chief Executive Officer shall also prepare a written affidavit for each Grant Application recommended by the non-majority Program Integration Committee Member or Members.
- (i) To the extent that the information or documentation for one Grant Application is the same for all Grant Applications recommended for Grant Award funding pursuant to the same Grant Mechanism, it shall be sufficient for the Chief Executive Officer to provide the information or documentation once and incorporate by reference in each subsequent affidavit.
- (j) At least three business days prior to the Oversight Committee meeting held to consider the Grant Applications for Grant Award funding, the Chief Executive Officer shall provide a list of Grant Applications, if any, recommended for an advance of Grant Award funds upon execution of the Grant Contract. The list shall include the reasons supporting the recommendation to advance funds.
- (k) The Program Integration Committee's decision to defer the final Grant Award recommendation for a Grant Application is only effective for the state fiscal year in which the Program Integration Committee's deferral decision is made.
- (1) A Grant Application that is deferred by the Program Integration Committee and is pending a final Grant Award recommendation at the end of the state fiscal year shall be considered not recommended for a Grant Award without further action from the Program Integration Committee.
- (2) A Grant Application that is deferred and pending a final Grant Award recommendation at the end of the state fiscal year may be resubmitted by the Grant Applicant in a subsequent review cycle. Such resubmission will not count against the resubmission limit, if any, stated in the Request for Applications.

### **RULE §703.8 Oversight Committee Consideration of the Program Integration Committee's Funding Recommendation**

The Oversight Committee must vote to approve each Grant Award recommendation submitted by the Program Integration Committee.

(1) Prior to the Oversight Committee's consideration and approval of the Program Integration Committee's Grant Award recommendations, the Chief Compliance Officer must review the process documentation for each Grant Application recommended for a Grant Award by the Program Integration Committee and report the findings to the Chief Executive Officer and to the Oversight Committee. The Chief Compliance Officer's report shall:

(A) Publicly certify that the Grant Review Process complied with the Institute's administrative rules and procedures, including those procedures stated in the Request for Applications.

(B) Indicate variances, if any, in the Grant Review Process.

(C) Compare the list of Grant Applicants recommended for a Grant Award to a list of donors from any nonprofit organization established to provide support to the Institute.

(2) The Chief Executive Officer may recommend corrective actions to address variances, if any, identified by the Chief Compliance Officer. The Oversight Committee shall consider and may approve proposed corrective actions at that time that the Grant Award recommendations are approved by a vote of a simple majority of Oversight Committee members present and voting.

(3) Two-thirds of the Oversight Committee Members present and voting must approve each Grant Award recommendation. At the time that the Oversight Committee approves the Grant Award recommendation:

(A) The total amount of money approved to fund a multiyear project must be specified.

(B) The Chief Executive Officer's recommendation, if any, regarding an advance of Grant Award funds must be approved by a majority vote of the Oversight Committee.

(4) If the Oversight Committee does not approve a Grant Award recommendation made by the Program Integration Committee, the minutes of the meeting shall record the explanation for the failure to follow the Grant Award recommendation.

(5) The Oversight Committee may not award more than \$300 million in Grant Awards in a fiscal year.

(6) No Oversight Committee action is necessary related to the Program Integration Committee's decision made pursuant to § 703.7 to defer a final Grant Award recommendation for one or more Grant Applications.

(7) Nothing herein prevents the Oversight Committee from voting to defer a final decision on a Grant Award recommendation made by the Program Integration Committee until a future meeting date pursuant to the following process:

(a) The motion to defer a final decision on a Grant Award recommendation must be made by an Oversight Committee member that is not recused from taking action on the Grant Application;

(b) The motion must be approved by two-thirds of the Oversight Committee Members present and voting;

(c) The reason for deferring a final decision on one or more Grant Award recommendations must be recorded in the minutes of the Oversight Committee meeting;

(d) Applications that have been deferred shall be considered by the Program Integration Committee at a future meeting date pursuant to § 703.7;

(e) The decision to defer the final Grant Award recommendation is only effective for the state fiscal year in which the deferral decision is made;

(f) A Grant Application that is deferred and pending a final Grant Award recommendation at the end of the state fiscal year shall be considered not recommended for a Grant Award without further action from the Program Integration Committee or the Oversight Committee; and

(g) A Grant Application that is deferred and pending a final Grant Award recommendation at the end of the state fiscal year may be resubmitted by the Grant Applicant in a subsequent review cycle. Such resubmission will not count against the resubmission limit, if any, stated in the Request for Applications.



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** KRISTEN P. DOYLE, GENERAL COUNSEL, DEPUTY EXEC. OFFICER  
CAMERON L. ECKEL, STAFF ATTORNEY  
**SUBJECT:** ETHICS COMMISSION DETERMINATION REGARDING STATE  
OFFICERS  
**DATE:** AUGUST 12, 2015

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**Summary and Recommendation:**

The Texas Ethics Commission (TEC) met August 7, 2015, and issued an advisory opinion that CPRIT's Oversight Committee members are not considered "state officers" for purposes of Texas Government Code Chapter 572 (Chapter 572). The TEC's determination is based on changes made to CPRIT's enabling legislation in the 2013 legislative session. (See attached *Ethics Advisory Opinion No. 530*.)

Since the TEC no longer considers Oversight Committee members "state officers" under Chapter 572, many of the Chapter 572 provisions that set out standards of conduct and conflicts of interest do not apply to Oversight Committee members. This is an issue of significant concern for legislators. (See attached *Senator Nelson letter*.) However, CPRIT's statute and Code of Conduct provide guidance and conduct standards addressing most gaps now that the TEC has determined that Chapter 572 provisions related to state officers no longer govern Oversight Committee members. (See attached *Wayne Roberts letter*.)

The Board Governance Subcommittee met August 6, 2015, and directed legal staff to draft a resolution stating the Oversight Committee's intent to abide by the transparency and accountability provisions of Chapter 572. CPRIT will assist the Legislature in crafting legislation to clarify whether Oversight Committee members should be subject to Chapter 572 provisions for state officers. Adoption of the attached resolution is recommended by the Board Governance Subcommittee.



## **Background:**

Ms. Eckel contacted the TEC in June about an administrative issue associated with the Personal Financial Statement (PFS) filing process. In the course of answering Ms. Eckel's process question, a TEC staff person reviewed CPRIT's agency file. The staff person notified Ms. Eckel that CPRIT's file included a written TEC staff decision that Oversight Committee members are not required to file financial disclosures with the TEC. Although the determination was purportedly made in October 2013, the information was not shared with CPRIT staff or Oversight Committee members. It appears that TEC staff were also unaware of the October 2013 determination because the TEC continued to notify Oversight Committee members of their obligation to file a PFS through 2015.

We consulted TEC's legal staff seeking the basis for the determination. Following several discussions, Natalia Luna Ashley, TEC's Executive Director, published an "Advisory Opinion Request – Staff Proposal" regarding this issue in the July 31, 2015, edition of the *Texas Register* and added the issue to the agenda for the August 7, 2015, TEC meeting.

At its meeting the TEC unanimously determined that an Oversight Committee member appointed to CPRIT is not a "state officer" under Chapter 572 and is not required to file a PFS with the TEC or subject to the standards of conduct provided by Section 572.051 or 572.054(b). (TEC Advisory Opinion is attached.) A TEC advisory opinion instructs how a law applies to a person or persons in specific factual situations. The advisory opinion carries legal weight under Texas law. TEC Chair Paul Hobby, in a letter responding to Senator Nelson, indicated that Oversight Committee members "are welcomed to continue filing personal financial statements with the Commission." (See attached *Chairman Hobby letter*.)

## **Health & Safety Code Chapter 102 Addresses Gaps Left By TEC Decision**

Texas Health & Safety Code Chapter 102 and CPRIT's Code of Conduct set forth specific standards of conduct and ethical requirements that are, in most cases, similar to or stricter than the provisions of Chapter 572 that are no longer applicable to Oversight Committee members. (See attached table.) These CPRIT-specific provisions continue to govern Oversight Committee member's conduct regardless of the applicability of Chapter 572. For example, although an Oversight Committee member is no longer required to file their PFS with the TEC under Chapter 572, CPRIT's statute directs that the Oversight Committee member's PFS be filed with CPRIT's Chief Compliance Officer. This requirement remains in effect whether or not the member is considered a state officer under Chapter 572.

There are two issues applicable to state officers in Chapter 572 that are not addressed by CPRIT's statute or CPRIT's Code of Conduct:



- § 572.034(a) creates a criminal offense for knowingly or willfully failing to file a required financial statement.
- § 572.060 provides clarification that a state officer may solicit a charitable contribution on behalf of a 501(c)(3) without it being considered a benefit to the state officer for purposes of Texas Penal Code §§ 36.08 and 36.09.

In both cases, actions necessary to make these provisions apply to CPRIT Oversight Committee members is beyond CPRIT's rulemaking authority.

### **Recommendation**

CPRIT's statute and Code of Conduct provide guidance and conduct standards addressing most gaps that have been created now that the TEC has determined that Chapter 572 provisions related to state officers no longer apply to Oversight Committee members. No further action is necessary to revise or amend the Code of Conduct or administrative rules.

A resolution is attached for the Oversight Committee's consideration affirming the board's commitment to transparency, accountability, and good governance. The resolution is consistent with the standards of conduct and disclosure requirements that the Oversight Committee members and CPRIT employees abide by currently.

CPRIT will assist the legislature in clarifying whether Oversight Committee members should be subject to Chapter 572 provisions for state officers.





# TEXAS ETHICS COMMISSION



## ETHICS ADVISORY OPINION NO. 530

*August 7, 2015*

*Regarding whether a person appointed to the Cancer Prevention and Research Institute of Texas Oversight Committee is a “state officer” for purposes of Chapter 572 of the Government Code. (SP-12)*

A question has arisen whether a person appointed to the Cancer Prevention and Research Institute of Texas Oversight Committee (CPRIT) is a “state officer” for purposes of Chapter 572 of the Government Code.

Chapter 572 requires certain individuals, including state officers, to file a personal financial statement with the Texas Ethics Commission (“commission”). Gov’t Code ch. 572, subch. B. A state officer is also subject to the standards of conduct provided by section 572.051 and certain provisions of the state “revolving door” law. *Id.* §§ 572.051, .054(b). A state officer is defined as “an elected officer, an appointed officer, a salaried appointed officer, an appointed officer of a major state agency, or the executive head of a state agency.” *Id.* § 572.002(12). An appointed officer includes “an officer of a state agency who is appointed for a term of office specified by the Texas Constitution or a statute of this state, excluding an appointee to a vacated elective office.” *Id.* § 572.002(1)(C).

CPRIT is a state agency created by the Texas Constitution. Tex. Const. art. III, § 67. Its governing body is the Cancer Prevention and Research Institute of Texas Oversight Committee, which is composed of nine members, of which the governor, lieutenant governor, and speaker of the house of representatives each appoint three. Health & Safety Code § 102.101. The constitution provides that CPRIT’s members “*may* serve four-year terms.” Tex. Const. art. III, § 67(b) (emphasis added). Beginning in 2009, state law also provided that CPRIT’s members were required to “serve staggered six-year terms.” Health & Safety Code § 102.103(a) (Acts 2009, 81st Leg., R.S., ch. 368, § 3). In 2013, the legislature amended that law to state that the members “serve *at the pleasure of the appointing office* for staggered six-year terms.” Acts 2013, 83rd Leg., R.S., ch. 1150, § 12 (emphasis added). We recognize that the amendment may create some uncertainty regarding the status of CPRIT’s members as appointed officers under chapter 572 and issue this opinion to provide clarity regarding the application of that chapter.<sup>1</sup>

In prior opinions, we have stated that a person who is appointed to an agency to “serve at the pleasure of” the appointing authority is not “appointed for a term of office” and therefore does not meet the definition of “appointed officer” under chapter 572 of the Government Code. *See, e.g.,* Ethics Advisory Opinion Nos. 180 (1994), 138 (1993), 124 (1993), 121 (1993), 1 (1992). Those determinations are supported by a Texas attorney general opinion that considered a previous definition of “appointed officer” that included, in part, “an officer of a state agency who is appointed for a term of office specified by the constitution or a statute of this state.”<sup>2</sup> Attorney General Opinion

H-253 at 1 (1974). In that opinion, the attorney general considered whether an appointment “at his [the governor’s] pleasure” constitutes a term of office for purposes of the definition of “appointed officer.” *Id.* The attorney general stated that the legislature intended the phrase “‘term of office specified by the constitution or a statute of this state’ ... to refer to a specific, designated period of time,” and concluded that an officer who is appointed “at the pleasure” or “at the will” of an appointing authority is not appointed for a term of office and is consequently not an “appointed officer.” *Id.* at 2. The Texas attorney general also considered a somewhat analogous statute that provided that the directors of an economic development corporation shall be appointed “for a term of no more than six years, and each of whom shall be removable by the unit for cause or at will,” and stated that the law did not establish a term of office for a director, but placed a six-year limit on any term that may be established. Attorney General Opinion JC-349 (2001).

By amending state law to provide that a member of CPRIT serves “at the pleasure of the appointing office,” it appears that the legislature intended for CPRIT members to be subject to removal by their appointing authority at any time.<sup>3</sup> This is consistent with the principle that public officers generally serve for either a set term or at the pleasure of the appointing authority.<sup>4</sup> Additionally, the legislature in 2013 amended CPRIT’s enabling legislation to requiring each CPRIT member to file with the chief compliance officer of the agency a personal financial statement “as required of a state officer” by section 572.021 of the Government Code. Health & Safety Code § 102.110. The legislature also required CPRIT to adopt a code of conduct applicable to its members and employees that includes provisions substantially similar to those applicable to state officers under section 572.051 of the Government Code. *Id.* § 102.109. Those requirements further indicate that the legislature intended to designate CPRIT, rather than the commission, as the filing authority for personal financial statements and to require its members to follow a particular set of ethical standards that are tailored to the agency. Thus, in our opinion, a member appointed to CPRIT is not “appointed for a term of office” and is not an “appointed officer” for purposes of chapter 572 of the Government Code. Accordingly, a member appointed to CPRIT is not a “state officer” under that chapter and is not required to file a personal financial statement with the commission or subject to the standards of conduct provided by section 572.051 or certain provisions under the “revolving door” law applicable to state officers under section 572.054(b).

## SUMMARY

A member appointed to the Cancer Prevention and Research Institute of Texas Oversight Committee is not “appointed for a term of office” and is not an “appointed officer” for purposes of chapter 572 of the Government Code. Accordingly, a member appointed to the agency is not a “state officer” and is not required to file a personal financial statement with the commission or subject to the standards of conduct provided by section 572.051 or certain provisions under the “revolving door” law applicable to state officers under section 572.054(b).

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<sup>1</sup> The members of the governing body of CPRIT are not elected and the agency is not identified as a “major state agency” by section 572.003 of the Government Code.

<sup>2</sup> The definition was located at article 6252-9b, section 2(3)(C), V.T.C.S., which was the predecessor to chapter 572 of the Government Code.

<sup>3</sup> We note that state law also provides that if a vacancy occurs, “the appropriate appointing authority shall appoint a successor, in the same manner as the original appointment, to serve for the remainder of the unexpired term.” Health & Safety Code § 102.103(c). This provision does not clearly establish that a member serves for a fixed term.

<sup>4</sup> See, e.g., *Aldine Indep. School Dist. v. Standley*, 280 S.W.2d 578 (Tex. 1955) (a public officer generally has a fixed term and may be removed only in accordance with the applicable provisions of law); Attorney General Opinion DM-114 (1992) (an officer who has a set term “is not subject to removal at the will of the appointing authority”); Attorney General Opinion JC-345 (2001) (distinguishing between tenure enduring at the pleasure of the creating power or fixed for a given period, which helps protect an officer’s independence from the control of others); Attorney General Opinion DM-149 (1992) (contrasting a public officer serving with a fixed term with a member serving at the will of a state commission).



P.O. BOX 12068  
CAPITOL BUILDING  
AUSTIN, TEXAS 78711  
512/463-0112  
FAX: 512/463-0923

DISTRICT OFFICE  
1235 S. MAIN STREET, SUITE 280  
GRAPEVINE, TEXAS 76051  
817/424-3446  
FAX: 817/488-6648

E-MAIL: jane.nelson@senate.state.tx.us



## The Senate of the State of Texas

Jane Nelson  
Senate District 12

### Committees:

FINANCE, CHAIR  
SUNSET ADVISORY COMMISSION, CHAIR  
LEGISLATIVE AUDIT COMMITTEE  
LEGISLATIVE BUDGET BOARD  
STATE AFFAIRS

August 6, 2015

Mr. Paul W. Hobby  
Chair, Texas Ethics Commission  
P. O. Box 12070  
Austin, TX 78711-2070

Dear Chairman Hobby:

I am writing in response to the proposed Advisory Opinion No. SP 12 relating to the ethics reporting requirements for Oversight Committee members of the Cancer Prevention and Research Institute of Texas (CPRIT).

In 2013 the Legislature overwhelming approved Senate Bill 149, which I authored to strengthen the transparency, accountability and governance of CPRIT. The proposed advisory opinion correctly identifies a portion of SB 149 establishing that the Oversight Committee members "serve at the pleasure of the appointing office for staggered six-year terms." However, if members are determined not to be state officers as defined by Chapter 572 of the Government Code, the practical effect would be to deny the public access to personal financial statements that are critical to open government.

I filed SB 149 with the specific goal of preventing conflicts of interests and improving public access to information about the financial interests of Oversight Committee members. As you consider Advisory Opinion No. SP 12, please keep in mind that it was the clear intent of the Legislature to require more public disclosure -- not less. At a minimum, I respectfully request that you continue to allow Oversight Committee members to file their personal financial statements with the Texas Ethics Commission on a voluntary basis until the Legislature can revisit this matter.

Please accept my comments as part of your official record to establish legislative intent for Senate Bill 149 83R as you consider this advisory opinion. And please do not hesitate to contact my office should you have any questions.

Very truly yours,

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

Senator Jane Nelson

cc: Natalia Luna Ashley, Executive Director







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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

August 6, 2015

The Honorable Jane Nelson  
Texas Senate  
P.O. Box 12068  
Austin, Texas 78711

Dear Senator Nelson:

I write regarding the proposed Advisory Opinion No. SP 12 that is scheduled to be discussed tomorrow at the Texas Ethics Commission (TEC) meeting. As you are aware, CPRIT did not initiate this inquiry.

CPRIT shares your commitment to preventing conflicts of interests and improving public access to information about the financial interests of Oversight Committee members. CPRIT Oversight Committee members have conscientiously observed all statutory requirements regarding personal financial disclosure, standards of conduct, and conflicts of interest expected of state officers, including the requirement to file Personal Financial Statements with the TEC. Oversight Committee members have filed their Personal Financial Statements with the TEC since the Oversight Committee was first established up to and including this year.

CPRIT's Board Governance subcommittee met this morning to discuss the upcoming TEC decision. Regardless of the outcome of the TEC meeting tomorrow, the Board Governance subcommittee recommends that the Oversight Committee take up and adopt a resolution affirming their commitment to uphold the standards of transparency, accountability, and governance put in place during the 83<sup>rd</sup> Legislative Session. This includes the continued practice of filing Personal Financial Statements with CPRIT, as required by Texas Health & Safety Code Section 102.110. Adoption of the resolution will be placed on the agenda for CPRIT's August 19, 2015, meeting.

Sincerely,

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

Wayne R. Roberts  
Chief Executive Officer

cc: The Honorable Greg Abbott  
The Honorable Dan Patrick  
The Honorable Joe Straus





# TEXAS ETHICS COMMISSION

P. O. Box 12070, Capitol Station  
Austin, Texas 78711-2070

Paul W. Hobby  
Chair

Chase Untermeyer  
Vice Chair

Natalia Luna Ashley  
Executive Director

Commissioners

Hugh C. Akin  
Jim Clancy  
Wilhelmina Delco  
Tom Harrison  
Bob Long  
Tom Ramsay

August 11, 2015

The Honorable Jane Nelson  
Texas Senate, District 12  
P. O. Box 12068  
Capitol Building  
Austin, Texas 78711-2068

**Re: Advisory Opinion No. SP 12**

Dear Chairwoman Nelson:

The Texas Ethics Commission appreciated your comments on the proposed Advisory Opinion No. SP 12 relating to the ethics reporting requirements for Oversight Committee members of the Cancer Prevention and Research Institute of Texas (CPRIT). Based on longstanding legal precedent, the Commission adopted the enclosed advisory opinion. CPRIT board members are welcomed to continue filing personal financial statements with the Commission. Please let me know if we may be of assistance to you. Thank you for your service.

Sincerely,

A handwritten signature in black ink, appearing to be "P. W. Hobby", with a long horizontal flourish extending to the right.

Paul W. Hobby  
Chair, Texas Ethics Commission

Enclosure: Advisory Opinion No. 12

*Come visit our home page at <http://www.ethics.state.tx.us> on the Internet.*

**(512) 463-5800 • FAX (512) 463-5777 • TDD 1-800-735-2989**

The Texas Ethics Commission does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or the provision of services.



This table compares provisions of Texas Government Code Chapter 572 applicable to “state officers” with corresponding provisions of CPRIT’s governing statute, Texas Health & Safety Code Chapter 102 and/or CPRIT’s Code of Conduct applicable to Oversight Committee members. The prohibitions listed below are not intended to be an exhaustive list of the provisions applicable to Oversight Committee member conduct.

Government Code Ch. 572	Statutory Language	Tex. Health & Safety Code Ch. 102 or CPRIT’s Code of Conduct	Statutory Language
<p><b>§ 572.001</b></p> <p><b><i>Legislative Intent</i></b></p>	<p>(a) It is the policy of this state that a state officer or state employee may not have a direct or indirect interest, including financial and other interests, or engage in a business transaction or professional activity, or incur any obligation of any nature that is in substantial conflict with the proper discharge of the officer's or employee's duties in the public interest.</p>	<p><b>§ 102.101(e)</b></p> <p><b><i>Composition of OC</i></b></p> <p><b>§ 102.1061(a)</b></p> <p><b><i>Disclosure of Conflict of Interest</i></b></p>	<p>A person may not be a member of the oversight committee if the person or the person's spouse:</p> <p>(1) is employed by or participates in the management of a business entity or other organization receiving money from the institute;</p> <p>(2) owns or controls, directly or indirectly, an interest in a business entity or other organization receiving money from the institute; or</p> <p>(3) uses or receives a substantial amount of tangible goods, services, or money from the institute, other than reimbursement authorized by this chapter for oversight committee membership, attendance, or expenses.</p> <p>The oversight committee shall adopt conflict-of-interest rules, based on standards applicable to members of scientific review committees of the National Institutes of Health, to govern members of the oversight committee, the program integration committee, the research and prevention programs committees, and institute employees... Professional interest... Financial interest...</p>
<p><b>§ 572.021</b></p> <p><b><i>Personal Financial Statement filed with the TEC</i></b></p>	<p>Except as provided by Section 572.0211, a state officer, a partisan or independent candidate for an office as an elected officer, and a state party chair shall file with the commission a verified financial statement complying with Sections 572.022 through 572.0252.</p>	<p><b>§ 102.110</b></p> <p><b><i>Personal Financial Statement Filed with CPRIT</i></b></p>	<p>Each member of the oversight committee shall file with the chief compliance officer a verified financial statement complying with Sections 572.022 through 572.0252, Government Code, as required of a state officer by Section 572.021, Government Code.</p>

Government Code Ch. 572	Statutory Language	Tex. Health & Safety Code Ch. 102 or CPRIT's Code of Conduct	Statutory Language
<p><b>§ 572.034(a)</b></p> <p><i><b>Criminal Penalty for Not Filing PFS</b></i></p>	<p>An individual commits an offense if the individual is a state officer or candidate or state party chair and knowingly and willfully fails to file a financial statement as required by this subchapter.</p>		<p>Not addressed.</p>
<p><b>§ 572.051(a)</b></p> <p><i><b>Standards of Conduct; State Agency Ethics Policy</b></i></p>	<p>A state officer or employee should not:</p> <p>(1) accept or solicit any gift, favor, or service that might reasonably tend to influence the officer or employee in the discharge of official duties or that the officer or employee knows or should know is being offered with the intent to influence the officer's or employee's official conduct;</p> <p>(2) accept other employment or engage in a business or professional activity that the officer or employee might reasonably expect would require or induce the officer or employee to disclose confidential information acquired by reason of the official position;</p> <p>(3) accept other employment or compensation that could reasonably be expected to impair the officer's or employee's independence of judgment in the performance of the officer's or employee's official duties;</p> <p>(4) make personal investments that could reasonably be expected to create a substantial conflict between the officer's or employee's private interest and the public interest; or</p> <p>(5) intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised the officer's or employee's official powers or performed the officer's or employee's official duties in favor of another.</p>	<p><b>§ 102.109</b></p> <p><i><b>Code of Conduct</b></i></p> <p><b>CPRIT's Code of Conduct, Section II.B.</b></p> <p><i><b>Prohibited Conduct</b></i></p>	<p>An Oversight Committee member or the spouse of an Oversight Committee member shall not:</p> <p>(1) accept or solicit any gift, favor, or service that could reasonably influence the member or employee in the discharge of official duties or that the member, employee, or spouse of the member or employee knows or should know is being offered with the intent to influence the member's or employee's official conduct;</p> <p>(2) accept employment or engage in any business or professional activity that would reasonably require or induce the member or employee to disclose confidential information acquired in the member's or employee's official position;</p> <p>(3) accept other employment or compensation that could reasonably impair the member's or employee's independent judgment in the performance of official duties;</p> <p>(4) make personal investments or have a financial interest that could reasonably create a substantial conflict between the member's or employee's private interest and the member's or employee's official duties;</p> <p>(5) intentionally or knowingly solicit, accept, or agree to accept any benefit for exercising the member's official powers or performing the member's or employee's official duties in favor of</p>

Government Code Ch. 572	Statutory Language	Tex. Health & Safety Code Ch. 102 or CPRIT's Code of Conduct	Statutory Language
			another;
<b>§ 572.051(b)</b>  <i>Standards of Conduct; State Agency Ethics Policy</i>	A state employee who violates Subsection (a) or an ethics policy adopted under Subsection (c) is subject to termination of the employee's state employment or another employment-related sanction. Notwithstanding this subsection, a state officer or employee who violates Subsection (a) is subject to any applicable civil or criminal penalty if the violation also constitutes a violation of another statute or rule.		Not explicitly stated in Chapter 102 or CPRIT's Code of Conduct. However, violations of provisions listed above would likely constitute grounds for removal from the Oversight Committee. (Health & Safety Code § 102.102.)
<b>§ 572.054(b)</b>  <i>Representation by Former Officer</i>	A former state officer of a regulatory agency who ceases service with that agency on or after January 1, 1992, may not represent any person or receive compensation for services rendered on behalf of any person regarding a particular matter in which the former officer participated during the period of state service or employment, either through personal involvement or because the case or proceeding was a matter within the officer's official responsibility.	<b>CPRIT's Code of Conduct, Section II.C(7)</b>  <i>Special Provisions</i>	<p>Not addressed in Chapter 102.</p> <p>CPRIT's Code of Conduct restricts a former Oversight Committee member from representing any person or entity, or receiving compensation for services rendered on behalf of any person or entity, regarding a particular matter in which the former Oversight Committee member participated during the period of state service, either through personal involvement or because the case or proceeding was a matter within the Oversight Committee member's official responsibility.</p>
<b>§ 572.056</b>  <i>Contracts by State Officers with Gov't Entities; Criminal Offense</i>	<p>(a) A state officer may not solicit or accept from a governmental entity a commission, fee, bonus, retainer, or rebate that is compensation for the officer's personal solicitation for the award of a contract for services or sale of goods to a governmental entity.</p> <p>(b) This section does not apply to:</p>	<b>§ 102.101(e)</b>  <i>Composition of the Oversight Committee</i>  <b>CPRIT's Code of Conduct, Section II.C</b>	<p>A person is prohibited from being a member of the Oversight Committee if the person or person's spouse:</p> <p>(1) is employed by or participates in the management of a business entity or other organization receiving money from the institute;</p> <p>(2) owns or controls, directly or indirectly, an interest in a business entity or other organization receiving money from the institute; or</p>

Government Code Ch. 572	Statutory Language	Tex. Health & Safety Code Ch. 102 or CPRIT's Code of Conduct	Statutory Language
	<p>(1) a contract that is awarded by competitive bid as provided by law and that is not otherwise prohibited by law; or</p> <p>(2) a court appointment.</p> <p>(c) In this section, "governmental entity" means the state, a political subdivision of the state, or a governmental entity created under the Texas Constitution or a statute of this state.</p> <p>(d) A state officer who violates this section commits an offense. An offense under this subsection is a Class A misdemeanor.</p>	<b><i>Special Provisions</i></b>	<p>(3) uses or receives a substantial amount of tangible goods, services, or money from the institute, other than reimbursement authorized by this chapter for oversight committee membership, attendance, or expenses.</p> <p>CPRIT's Code of Conduct incorporates the statutory prohibitions listed above.</p> <p>A violation of the statute or the Code of Conduct will result in removal of the Oversight Committee member, but such conduct does not constitute a criminal offense.</p>
<p><b>§ 572.060(a)</b></p> <p><b><i>Contributions to Charitable Organizations</i></b></p>	<p>Unless otherwise prohibited by the Code of Judicial Conduct, a state officer may:</p> <p>(1) solicit from any person a contribution to:</p> <p>(A) an organization that:</p> <p>(i) is exempt from income taxation under Section 501(a), Internal Revenue Code of 1986, by being listed under Section 501(c)(3) of that code;</p> <p>(ii) does not attempt to influence legislation as a substantial part of the organization's activities; and</p> <p>(iii) has not elected under Section 501(h), Internal Revenue Code of 1986, to have that subsection apply to the organization; or</p> <p>(B) a governmental entity; or</p> <p>(2) recommend to any person that the person make a contribution to an organization or entity described by Subdivision (1).</p>		<p>Not addressed in Chapter 102 or CPRIT's Code of Conduct.</p>



Government Code Ch. 572	Statutory Language	Tex. Health & Safety Code Ch. 102 or CPRIT's Code of Conduct	Statutory Language
<b>§ 572.060(d)</b>  <b><i>Contributions to Charitable Organizations</i></b>	A contribution paid as provided by Subsection (b) or delivered as provided by Subsection (c) is not: (1) a political contribution to, or political expenditure on behalf of the state officer or state employee for purposes of Title 15, Election Code; (2) an expenditure for purposes of Chapter 305; or (3) a benefit to the state officer for purposes of Sections 36.08 and 36.09, Penal Code.		Not addressed in Chapter 102 or CPRIT's Code of Conduct.





CANCER PREVENTION & RESEARCH  
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CPRIT Oversight Committee Resolution Adopted on August 19, 2015

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As reflected by a vote of the Oversight Committee of the Cancer Prevention and Research Institute of Texas (CPRIT), duly recorded in the minutes of the August 19, 2015, Oversight Committee meeting, the CPRIT Oversight Committee adopts this resolution.

**RESOLUTION**

WHEREAS, The members of the CPRIT Oversight Committee are dedicated to upholding the transparency, accountability, and governance standards expected of appointed state officers entrusted with public funds; and

WHEREAS, The members of the CPRIT Oversight Committee are committed to preventing conflicts of interests through adherence to standards of conduct set forth in Texas Health & Safety Code Chapter 102, agency administrative rules, and the CPRIT Code of Conduct, and public disclosure and recusal when potential conflicts arise in matters before the board; and

WHEREAS, The State of Texas created the Personal Financial Statement filing process in Texas Government Code Chapter 572 to promote transparency in decision-making and public access to state officers' financial interests; and

WHEREAS, The members of the CPRIT Oversight Committee have filed Personal Financial Statements with the Texas Ethics Commission pursuant to Chapter 572 every year since the Oversight Committee was established in 2008; and

WHEREAS, On August 7, 2015, the Texas Ethics Commission, in response to their staff-initiated request for an advisory opinion, determined that CPRIT Oversight Committee members are not considered appointed officers under Chapter 572 and therefore are not required to file Personal Financial Statements with the Texas Ethics Commission; and

WHEREAS, Texas Health & Safety Code Section 102.110 requires each member of the Oversight Committee to file with CPRIT's Chief Compliance Officer verified financial statements complying with Sections 572.022 through 572.0252, Government Code; now therefor be it

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RESOLVED, That the members of the Oversight Committee affirm their commitment to uphold the standards of transparency, accountability and governance put in place during the 83<sup>rd</sup> Legislative Session; and it be further

RESOLVED, That the members of the Oversight Committee will continue to file Personal Financial Statements with the CPRIT's Chief Compliance Officer and may voluntarily file the Personal Financial Statements with the Texas Ethics Commission.

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Signed on behalf of the CPRIT Oversight Committee on the 19<sup>th</sup> of August, 2015:

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The Honorable William Rice, M.D., Chair

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The Honorable Pete Geren, Vice Chair



CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**  
**From: HEIDI MCCONNELL, CHIEF OPERATING OFFICER**  
**Subject: APPROVAL OF FY 2016 SERVICE CONTRACTS**  
**Date: AUGUST 10, 2015**

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**Recommendation**

CPRIT staff recommends approval of the following six service contracts for FY 2016:

- Compliance Monitoring Support Services with CohnReznick for \$553,200
- Due Diligence Services with ICON Clinical Research for \$300,000
- Economic Assessment of the Cost of Cancer in Texas with The Perryman Group for \$150,000
- Outside Legal Services with Vinson & Elkins for \$200,000
- Outside Legal Services with Yudell Isidore for \$100,000
- Strategic Communication Program Services with Hahn Public Communications for \$149,975

If the Oversight Committee has no conflicts of interest with any of the recommended vendors and approves these recommendations, CPRIT will be able to proceed with executing contracts for four of the six service contracts. However, the two contracts that exceed \$250,000 also require approval from the Legislative Budget Board before CPRIT can execute them.

**Compliance Monitoring Support Services Contract**

CPRIT staff would like to exercise the first one-year renewal option on the contract with CohnReznick for \$553,200 to provide compliance monitoring support services. This contract allows CPRIT to augment the agency's in-house compliance staff to perform desk and onsite monitoring reviews of CPRIT grant recipients with the goal of 100 percent coverage of the high priority grant recipients through either a desk or onsite monitoring review.

**Due Diligence Services Contract**

CPRIT staff would like to exercise the first renewal option with ICON Clinical Research for \$300,000 to provide up to 12 business administration and regulatory due diligence reviews of company applicants in the Product Development Research Program. Business administration and regulatory due diligence review involves an in-depth evaluation of a company's management team, regulatory affairs, clinical trial design, manufacturability of the proposed product, market for the proposed product, marketing and so forth. These due diligence reports are not a re-review of the grant application but provide an independent analysis of the company applicant's potential to commercially develop the proposed, drug, device, diagnostic, technology, or service, which the Product Development Review Council uses to finalize their grant award recommendations.

Staff estimate that the Product Development Review Council will request due diligence on three to six company applicants per grant application cycle. Two application review cycles are planned in fiscal year 2016. The cost of each report is a firm fixed price of \$25,000.

### **Economic Assessment of the Cost of Cancer in Texas Contract**

CPRIT staff would like to enter into a new contract with The Perryman Group for \$150,000 to provide CPRIT with:

- The statutorily required cost of cancer in Texas measurement;
- The measurement of key economic performance indicators related to CPRIT funding and program impact; and
- An estimate of the economic impact to Texas if CPRIT is not extended and no additional funding is provided beyond the issuance of \$3 billion in general obligation debt authorized by the Texas Constitution.

The Perryman Group is the incumbent contractor for these services. The Perryman Group provided this economic assessment service to CPRIT from FY 2010 through FY 2014. CPRIT issued a new request for proposal (RFP) for these services on June 22, 2015, and it was posted for 26 days. The Perryman Group was the sole respondent. The RFP allows up to three one-year renewals.

### **Outside Legal Services Contracts**

CPRIT staff would like authorization to exercise the agency's option to amend the two contracts for outside legal services in FY 2016 with Vinson & Elkins for \$200,000 (increasing the total value of the contract to \$600,000), and Yudell Isidore for 100,000 (increasing the total value of the contract to \$300,000). CPRIT relies on outside legal counsel with expertise in intellectual property to conduct a review of companies' intellectual property estate as part of the due diligence process. Two firms, Vinson & Elkins and Yudell Isidore (formerly Yudell Isidore Ng Russell), were selected following a review process initiated by CPRIT in July 2012. Having two firms available allows CPRIT to balance workload and address conflicts of interest in the situation that one firm has a prior relationship to a company applicant, the other firm can perform the review.

Outside counsel contracts must be approved by the Office of the Attorney General. Generally, outside counsel contracts are permissible only in special circumstances when the agency legal counsel and Attorney General legal staff do not have expertise in the particular area.

### **Strategic Communications Program Services**

CPRIT staff would like to exercise the first one-year renewal option on the contract with Hahn Public Communications for \$149,975 to provide strategic communication program services including communications strategy services, media relations support, digital media relations advisory services, and communication program evaluation and assessment.

The original contract period covers 18 months from March 2014 through the end of August 2015 for a not to exceed amount of \$362,250 (or approximately \$240,000 on an annual basis). Hiring a staff Communications Specialist has made it possible to reduce the amount and type of services needed under this contract.



CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE MEMBERS**  
**From: REBECCA GARCIA, PHD, CHIEF PREVENTION AND COMMUNICATIONS OFFICER**  
**Subject: PREVENTION PROGRAM UPDATE**  
**Date: AUGUST 18, 2015**

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The following report provides an overview of the Prevention Program activities from June 1, 2015 through August 7, 2015.

FY2016 Review Cycle 1: We revised and released 5 RFAs in April, one of which is new. The new RFA is titled "Dissemination of CPRIT-funded Cancer Control Initiatives." Other changes to the RFAs include the addition of the approved program priorities and changes to the areas of emphasis to include screening for Hepatitis B and C for the prevention of liver cancer.

We received 20 applications by the due date of July 9, 2015. Reviewers are being recruited and assigned applications. Peer review will take place Sept 21-22 in Dallas. Award recommendations will be presented to the November 2015 Oversight Committee.

FY2016 Review Cycle 2: RFAs are being updated for release on Sept. 24. See, Test & Treat<sup>®</sup> (STT), a new RFA, is the result of a collaboration between CPRIT and the College of American Pathologists (CAP) Foundation. STT is a tested, evidence based program developed by the CAP Foundation that is a one-day community based cervical and breast cancer screening program organized by pathologists in partnership with medical facilities (FQHC clinics and hospitals). The program is unique in that it provides same-day results, some follow-up care on the day of the program and a plan of action for further treatment if required. The delivery of the program calls for collaboration among pathologists, obstetricians/gynecologists, family medicine practitioners, radiologists, cytotechnologists, radiology technicians, nurses, healthcare administrators, outreach specialists and community advocates/organizers.

A list with a brief description of each RFA to be released in September is attached to this memo.

Other Activities:

- Ramona Magid and I are focusing on areas of the state where there are few CPRIT prevention projects and scheduling meetings with health care providers and community organizations to discuss community needs, barriers to applying for CPRIT awards, and current funding opportunities.
  - On July 22, we met with Baylor Scott & White in Waco.
  - A meeting with the regional medical director and associate director for Health Service Region 7 is scheduled for August 12 in Temple.
  - A meeting with UT Health Science Center Tyler and area community organizations is scheduled for September 2 in Tyler.

- I have been invited to represent CPRIT on the Texas team that will be attending the National “80 by 2018 Forum” September 16<sup>th</sup> and 17<sup>th</sup> in Atlanta, GA. Texas is one of 11 states selected to attend the Forum. The Forum is a collaboration between the Centers for Disease Control and Prevention (CDC), the American Cancer Society (ACS), and the National Cancer Institute (NCI) to offer a training opportunity to state teams to identify and plan opportunities to increase colorectal cancer screening rates.
- We surveyed the Prevention grantees to solicit information on the feasibility of reporting activities by county. Their responses were due July 24 and results presented to the Oversight Subcommittee August 11.



## **AWARD MECHANISM DESCRIPTIONS**

### **FY16.2 PREVENTION PROGRAM**

#### **New: See, Test, Treat Program**

The See, Test & Treat® (STT) is a tested, evidence based program developed by the CAP Foundation. The CAP Foundation and CPRIT are collaborating to fund and implement the CAP Foundation's See, Test & Treat programs for underserved populations in Texas. See, Test & Treat is a one-day community based cervical and breast cancer screening program organized by pathologists in partnership with medical facilities (FQHC clinics and hospitals). The program is unique in that it provides same-day results, some follow-up care on the day of the program and a plan of action for further treatment if required. The goals of each program are to screen up to 100 women with specific attention paid to lifestyle education, family interaction with pathologists, and access to health insurance information while the family waits for results. Targeted outreach is conducted to reach women in vulnerable and underserved populations. The delivery of the program calls for collaboration among pathologists, obstetricians/gynecologists, family medicine practitioners, radiologists, cytotechnologists, radiology technicians, nurses, healthcare administrators, outreach specialists and community advocates/organizers. Award: Maximum of \$25,000; Maximum duration of 12 months

#### **Competitive Continuation/Expansion - Evidence-Based Cancer Prevention Services**

This award mechanism seeks to fund continuation or expansion of currently or previously funded projects that have demonstrated exemplary success, as evidenced by project results, outcomes and impact of the currently or previously funded project. The proposed project should closely follow the intent and core elements of the currently or previously funded project. Award: Maximum of \$1.5 M; Maximum duration of 36 months.

#### **Evidence-Based Cancer Prevention Services**

This award mechanism seeks to fund projects that will deliver evidence-based cancer prevention and control clinical services. Priority will be given to projects that propose to address CPRIT areas of emphasis and serve areas of the state not well addressed by current CPRIT funded projects.

Award: Maximum of \$1.5M; Maximum duration of 36 months.

#### **Evidence-Based Cancer Prevention Services-Colorectal Cancer Prevention Coalition**

This award mechanism seeks to fund projects that will deliver a comprehensive and integrated colorectal cancer screening project that includes provision of screening, diagnostic, and navigation services in conjunction with outreach and education of the target population through a coalition of partners. The proposed project should be designed to reach and serve as many people as possible by its simultaneous implementation in multiple clinical sites.

Award: No dollar limit; cost per person served must be well justified; Maximum duration of 36 months.

**Cancer Prevention Promotion and Navigation to Clinical Services**

This award mechanism seeks to fund projects that deliver public education and outreach and navigation to cancer screening and preventive services. The proposed project must assist participants in obtaining prevention interventions being promoted by providing navigation services.

Award: Maximum of \$400,000; Maximum duration of 36 months.

**Dissemination of CPRIT funded Cancer Prevention and Control Interventions**

This award mechanism seeks to fund projects that will facilitate the dissemination and implementation of successful CPRIT-funded, evidence-based cancer prevention and control interventions across Texas. The proposed project should be in a position to develop one or more “products” based on the results of the CPRIT-funded intervention. The proposed project should also identify and assist others to prepare to implement the intervention and/or prepare for grant funding.

Award: Maximum of \$300,000; Maximum duration of 24 months



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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS

**FROM:** REBECCA GARCIA, PH.D. CHIEF PREVENTION AND COMMUNICATIONS OFFICER

**SUBJECT:** COMMUNICATIONS UPDATE

**DATE:** AUGUST 7, 2015

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The following report provides an overview of the agency's communications activities from June 1, 2015 through August 7, 2015.

**EARNED MEDIA**

The communication team's media outreach on CPRIT's 2 million milestone in prevention services provided to Texans resulted in positive coverage by such outlets as *D Magazine* and *The Bryan-College Station Eagle*.

**Grant Awards Announcement:** Following the Oversight Committee's approval, on May 20, 2015, CPRIT distributed a press release to and pitched local, regional and national media announcing the awarding of 28 research grants, 11 prevention grants and two product development grants which resulted in some of the coverage as represented below.

**Coverage:** (May 1, 2015 – July 31, 2015)

- 9 articles featured CPRIT
- 63 additional articles mentioned CPRIT (stories primarily focused on work of grantees)

**Coverage Highlights:** (see clipped articles following report)

- May 20, 2015, *San Antonio Business Journal*, San Antonio Scores More Cancer Research Funding
- May 27, 2015, *Houston Business Journal*, Rice University Snags Harvard Cancer Researcher
- May 28, 2015, *D Magazine's Healthcare Daily*, UT Southwestern's CPRIT Haul Includes Largest-Ever Preventative Grant
- June 21, 2015, *The Bryan-College Station Eagle*, Cancer Prevention and Research Institute of Texas Celebrates Milestone of Helping Over Two Million
- June 25, 2015, *BioNews Texas*, CPRIT Honors Carson Leslie Foundation in New Building
- July 23, 2015, *The Chronicle of Higher Education*, Boom in Academic Poaching Fueled by Visions of Economic Development
- August 7, 2015, *San Antonio Express-News*, Ethics Commission & CPRIT

## **CPRIT 2015 CONFERENCE**

Communications activities the last two months have centered on planning for the Nov. 9-10, 2015 Innovations in Cancer Prevention and Research IV conference. The conference website was created and the registration system opened on July 23. Abstracts are coming in and the deadline for submission extended to Aug. 14. The majority of speakers are confirmed and course descriptions for use on the website and in the program are being submitted by the speakers. The current program schedule is attached. Vendors for graphic design, printing and décor will be procured in September.

## **CPRIT MESSAGES AND ACCOMPLISHMENTS**

A new CPRIT's accomplishments brochure with updated statistics will be available after the August 19 Oversight Committee meeting. The achievements report will be posted on CPRIT's website and the link included in posts on our social media platforms.

The communications team is gathering information on the editorial calendars of various journals. The goal is to try to match CPRIT grantees with topics on the editorial calendar and offer the CPRIT grantee as a resource for the journal article.

## **CPRIT PREVENTION MILESTONE**

News that CPRIT has surpassed the 2 million milestone in cancer prevention services provided to Texans was disseminated in a statewide press release and posted on CPRIT's Twitter feed, Facebook page and website.

## **TEXANS TELL THEIR STORIES**

On the Prevention page of CPRIT's website, a new tab was created for a series of videos where Texans talk about the difference CPRIT-funded programs have made in their lives.

## **SOCIAL MEDIA**

The communications team continues to use social media outreach, including Twitter and Facebook, to publicize CPRIT-generated content along with news and information about and from grantees, advocates and other trusted sources.



**W. Scott Bailey**

Reporter/Project Coordinator-  
*San Antonio Business Journal*

Email | Twitter | Google+ |  
Facebook

## SA SCORES MORE CANCER RESEARCH FUNDING

The Cancer Prevention and Research Institute of Texas has awarded 39 grants totaling more \$89 million in its latest allocation of funding. Just under \$6.7 million was awarded to San Antonio institutions.

The University of Texas Health Science Center at San Antonio's Cancer Therapy & Research Center will receive nearly \$5.2 million to support multiple projects. The largest allocation to CTRC is a nearly \$3.3 million core facility grant for single cancer cell analysis.

CTRC was awarded an additional \$1.5 million grant to support its research aimed at reducing and preventing hepatocellular/liver cancer.

"These grants demonstrate the breadth and depth of our researchers' talents at every level," said CTRC Director Dr. Ian Thompson about the CPRIT funding.

CPRIT has awarded nearly \$1.5 million to University Health System to support its colorectal cancer prevention screening program.

To date, CPRIT, which was launched in 2009, has awarded more than \$1.3 billion in grants to researchers, institutions and organizations in the Lone Star State.



## Rice University snags Harvard cancer researcher



**Natasha Kirienko**, a Harvard Medical School and Massachusetts General Hospital cancer researcher, will join the staff at **Rice University** through a \$2 million grant from the Cancer Prevention and Research Institute of Texas.

The CPRIT grant was awarded to Rice to recruit Kirienko, according to a statement. The goal of CPRIT is to make Texas a hub for cancer research through \$3 billion in state funding. To date, CPRIT has awarded \$1.33 billion in grants to researchers, institutions and organizations, the statement said.

"We are delighted that CPRIT has chosen to assist with Natasha's recruitment as a first-time, tenure-track faculty member," **Mary C. Farach-Carson**, vice provost for translational bioscience and the scientific director of the BioScience Research Collaborative, said in a statement. "Without CPRIT support, we would not have been able to recruit this highly talented scientist to Rice."

Kirienko's research will focus on both resistance to infection and cancer, Farach-Carson said. Kirienko will join the department of Bioscience at Rice University.

Houston has received millions in CPRIT awards since the program's inception in 2009. **Local companies, medical schools and research labs have all received capital from the program.**

<http://www.bizjournals.com/houston/blog/2015/05/rice-university-snags-harvard-cancer-researcher.html>



## UT Southwestern's CPRIT Haul Includes Largest-Ever Preventive Grant

UT Southwestern Medical Center has been awarded the largest preventive grant in the history of the state-funded Cancer Prevention Research Institute of Texas.

The school has received \$55 million of the \$89 million that CPRIT has doled out to agencies statewide, including the record-setting \$4.8 million preventive grant, which will fund a colon cancer screening initiative. The school also received \$1.49 million to provide breast cancer prevention and screening services for women in rural and underserved regions of North Texas.

UTSW also received \$5.59 million for a research grant that will improve the school's bioinformatics capability, providing researchers with greater access to database tools to analyze patterns involved in the regulation and organization of molecules, cells, tissues, and organs. A grant worth \$800,000 was awarded to the Department of Cell Biology to help develop an anti-cancer therapeutic drug.

The school was also given \$4 million to recruit tenure-track faculty members.

"We are deeply grateful for this support from CPRIT and the people of Texas," said Dr. Daniel K. Podolsky, the university president. "These grants will fund important and innovative research projects and prevention programs, leading ultimately to improved treatments for cancer patients and more widespread prevention efforts for the population of Texas and beyond."

<http://healthcare.dmagazine.com/2015/05/28/ut-southwesterns-cpr-it-haul-includes-largest-ever-preventive-grant/>

## **Cancer Prevention and Research Institute of Texas celebrates milestone of helping over two million**

The Cancer Prevention and Research Institute of Texas in Austin has reached a milestone, surpassing the two million mark in cancer prevention services provided to all 254 Texas counties. Services such as counseling, screenings, vaccinations and survivor care are made possible through institute grants given to agencies across the state.

"We provide funding for the whole continuum of prevention, from primary programs such as education and counseling to tertiary care which prevents the recurrence of cancer through survivorship programs," said Dr. Becky Garcia, the institute's chief prevention and communications officer. Since its establishment in 2009, the Cancer Prevention and Research Institute of Texas has provided funding for 146 cancer prevention grants, totaling more than \$142 million.

A local prevention project spearheaded by Carol Rice, extension health specialist at the Texas A&M AgriLife Extension Service, has been awarded a \$1.5 million grant, its second grant in three years. The program, developed in 2012, provides breast and cervical cancer screenings to uninsured women in 50 rural counties across Texas.

Through the institute's grant, Rice said this program is able to provide educational events, services and transportation while also maintaining contracts with a variety of agencies such as hospitals and clinics.

"The funding provides an infrastructure that allows us to hire people that are skilled in communication," Rice said. "They provide support to help navigate the participants through the complex health care system."

According to Rice, 68 percent of uninsured women never are screened, making treatment difficult if cancer is found in its late stages.

Rice said that in nearly three years, the project's outreach has assisted 7,590 women, more than twice than its original goal. In the anonymous feedback the program has received, various women have acknowledged the importance of participation and dedication, and return the favor by encouraging other women to do the same.

"The key to our success is the patient navigators," Rice said. "Most are cancer survivors themselves, and they build rapport with women who are too intimidated to participate."

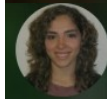
Cancer prevention services are currently limited to 10 percent or \$30 million of the total institute funding, Garcia said. As projects continue to grow, Garcia acknowledges the next necessary step to enhance the prevention process is research.

"This is a great and unique opportunity we have with CPRIT," said Garcia. "We do know how to reduce the risk of cancer through prevention, but we can also invest in the research for better means of early detection. Prevention and research go hand-in-hand."

[http://www.theeagle.com/news/local/cancer-prevention-and-research-institute-of-texas-celebrates-milestone-of/article\\_54f423e8-8a9a-5ffd-98b7-5082b1a19717.html](http://www.theeagle.com/news/local/cancer-prevention-and-research-institute-of-texas-celebrates-milestone-of/article_54f423e8-8a9a-5ffd-98b7-5082b1a19717.html)



## CPRIT Honors Carson Leslie Foundation in New Building



LEONOR MATEUS FERREIRA

The **Cancer Prevention and Research Institute of Texas (CPRIT)** is honoring the legacy of **Carson Leslie** and the **Carson Leslie Foundation** by naming one of the conference rooms in CPRIT's new office in the William B. Travis State Office Building after Carson. The institute recently informed the family about the decision through a personal letter.

The Carson Leslie Foundation, a Texas-based non-profit organization, was founded by its executive director **Annette Leslie** after losing her son to medulloblastoma, brain and spine cancer on January 12, 2010. Throughout the years, the foundation has worked to help children and teenagers fighting cancer by establishing partnerships with institutions such as CPRIT. The institute will now honor the efforts of the foundation, a decision made by CPRIT's employees.

"Carson Leslie had a profound effect on so many lives during his too-short time on earth," stated CPRIT's CEO Wayne R. Roberts. "He showed incredible courage and strength not usually seen in young adults his age. He inspired children and adults alike with his book, *Carry Me*, and his commitment to helping others share his story," he said, referring to the book written by Carson to give a voice to pediatric cancer patients and express how the disease affects their personal, social, physical and emotional lives.

"Carson had a major impact on the Cancer Prevention & Research Institute of Texas. When we recently moved into our new office space in the William B. Travis State Office Building, I invited our staff to submit proposals to name our two conference rooms. I'm pleased to share that the final vote resulted in our honoring Carson's memory by naming one the Carson Leslie Room," said Roberts in a letter addressed to Mrs. Leslie.

The CEO also thanked the family for the work conducted through the Carson Leslie Foundation and noted Carson's dying wish, which is the basis for the foundation. "Momma, make sure they study those tumors in my brain, 'cause if those tumors can help some kid some day not die from cancer like I am, I'd like that, it's hard to have cancer," said the teenager, who battled cancer for three and a half years.

Annette Leslie is part of CPRIT's Advisory Council on Childhood Cancer, and the two organizations have established a close relationship to help pediatric cancer patients. One of the most recent initiatives was the awarding of a joint \$3,200,000.00 grant to fund research for less toxic childhood brain cancer treatments. The award was designed to support Texas-based not-for-profit institutions or organizations that conduct laboratory, clinical, or population-based studies for a period of up to four years.

A former teacher, Annette Leslie is currently dedicated to giving speeches, advising state and federal legislators and participating in awareness campaigns. Last February, she presented "cold staggering childhood cancer facts" as Mrs. Leslie called it, in a meeting with members of CPRIT's oversight committee, which includes nine members appointed by the Governor, as the institute is focusing more and more on pediatric cancer.

"With CPRIT, Texas is a recognized leader in cancer research, and that's just one more reason to be Texas proud," said Annette Leslie at the time. "If there was someone in America walking around randomly killing 2,500 children every year, someone in America, (I'm thinking probably a Texan) would stop that killer. Cancer is that killer, claiming the lives of 2,500 kids every single year."

[http://bionews-tx.com/news/2015/06/25/cprit-honors-carson-leslie-foundation-new-building/?utm\\_source=BioNews+TX+Newsletter&utm\\_campaign=b698ce299a-MailChimp&utm\\_medium=email&utm\\_term=0\\_180cbeb780-b698ce299a-71020033](http://bionews-tx.com/news/2015/06/25/cprit-honors-carson-leslie-foundation-new-building/?utm_source=BioNews+TX+Newsletter&utm_campaign=b698ce299a-MailChimp&utm_medium=email&utm_term=0_180cbeb780-b698ce299a-71020033)

## Boom in Academic Poaching Is Fueled by Visions of Economic Development



Scott Dalton, The New York Times, Redux

The U. of Texas' M.D. Anderson Cancer Center used a \$10-million package to recruit James Allison, a professor of immunology, from the Memorial Sloan-Kettering Cancer Center. The move was part of a \$250-million spending spree that has lured more than 80 top cancer researchers to Texas.

Sean J. Morrison, professor of pediatrics: \$10 million. James P. Allison, professor of immunology: \$10 million. Nancy A. Jenkins and Neal G. Copeland, deans of cancer biology and genetics: \$7.5 million each.

Such are the hefty recruiting packages that lured four researchers — along with their labs and staffs — to Texas. They've joined 80 other leading cancer researchers who have moved to Texas' universities and institutes over the past five years thanks to a \$250-million state-aided spending spree on science superstars.

It's part of a strategy to make Texas a clear leader in studying cancer — to attack one of humanity's most devastating diseases and, hopefully, to bolster the state's economy in the process. Key goals include creating jobs and raising the quality of Texas' research universities, said Wayne R. Roberts, chief executive officer of the Cancer Prevention Research Institute of Texas, a state-chartered agency known as Cpri.

"Overarching it all," Mr. Roberts said of his agency and its mission, "is to cure and to find ways to mitigate cancer."

At a time when American research universities face growing financial pressure, driven largely by cuts in federal and state financing, Texas stands as something of an anomaly — and, perhaps, a role model. By laying out millions of dollars to lure premier cancer scientists from other universities across the country, the state is drawing criticism and skepticism as well as envy and emulation.

Some embrace the practice as recruiting; others deride it as poaching. Either way, it's a tactic pretty much as old as universities themselves. The centuries-old quest to accumulate the most celebrated scientific minds has always come with benefits both financial and emotional.

But in more recent years, the economic value of the strategy has moved to the fore. Beyond Texas, several states have made an explicit practice of figuring out which fields of scientific research are most important to their economic futures, and then giving their universities money to go out and hire established scholars, and rising stars, in those fields.

"What is new" about poaching, said C. Michael Cassidy, president and chief executive officer of the Georgia Research Alliance, which distributes about \$16 million a year in state money, "is doing it as a broad economic---development strategy."

With that approach come some new stresses for universities. The University of California at San Diego sued the University of Southern California this month over its recruitment of a leading researcher of Alzheimer's disease. And Carnegie Mellon University saw a budding business partnership go sour this year when Uber Technologies Inc. instead hired away 40 of Carnegie's researchers and scientists.

The climate has become so disorienting that complaints and compliments about academic poaching can sometimes be heard from the same corners. In New York, for example, the state's medical schools have grumbled publicly about Texas' behavior. At the same time, they are urging their own Legislature to try a similar plan.

#### A 'Bolos of Support'

States such as Texas that offer recruitment money "aren't necessarily investing in new people," said Jo Wiederhorn, president and chief executive officer of the Associated Medical Schools of New York, a consortium of the state's 16 public and private medical schools. "They're just stealing from other states."

Yet, Ms. Wiederhorn hastened to add, they're doing so within legal and ethical bounds. "If a state has enough foresight to see that this is going to be the new economy and they can strengthen their economy through doing this," she said, "then there's nothing untoward about it."

From 2002 to 2009, New York State tried its own hand at aggressive academic recruiting: Its Faculty Development Program spent more than \$35 million helping medical schools attract and retain researchers. That's on top of the \$300 million dished out since 2007 by the state's stem---cell science initiative, second in size only to California's \$3---billion effort in the field.

But that kind of money has largely dried up in recent years, and Ms. Wiederhorn and leaders of the state's medical schools have been pressing lawmakers in Albany for more. The main proposal would provide \$50 million a year for faculty recruitment, to be matched by at least \$100 million from the medical schools.

"It's really designed, we believe, to level the playing field for New York medical schools," Lee Goldman, dean of medicine at Columbia University, said of the lobbying campaign.

Texas' commitment to recruitment has certainly changed cancer research. Bolstered by its oil---industry wealth, Texas set aside \$3 billion over 10 years for the cancer agency beginning in 2007. The disease made for a politically popular target at a time of cuts in cancer spending at the federal level, especially with the Texas native Lance Armstrong, then a cycling star, leading public appeals.

To a large degree, it has worked, as evidenced by the movement of so many high---profile scientists to Texas institutions, which must cover at least half the cost of the recruitment packages. Total packages typically run from about \$2 million for a junior researcher up to \$10 million for established stars like Mr. Morrison and Mr. Allison.

Mr. Morrison, a professor of pediatrics who left the University of Michigan at Ann Arbor in 2011 to join the University of Texas Southwestern Medical Center, said the money had let him significantly expand his work, including the creation of a clinical trial for melanoma. "These are things that wouldn't have happened, period, anywhere, in the absence of that bolus of support from Cprit," he said.

#### The Search for Superstars

California, which made its \$3---billion commitment in 2004, also limited its program to a specific field. It chose stem---cell research, seeing that as a promising avenue of medical investigation that was then largely being blocked at the federal level. Other states, however, work with much more modest sums of money, and with correspondingly tighter focuses.

An example is Utah, one of several states using Georgia's 25---year---old program as a model. Rather than try to compete broadly with Texas for cancer researchers, the Utah Science Technology and Research project has sought to place world leaders in eight specific niches, such as identifying the proteins associated with cancer of the liver, at its two major research universities.

"I can't win the fight to be the best in cancer, for God's sake," said Ted McAleer, a former executive director of the agency, which has an annual budget of about \$20 million. "I've got to pick an element of cancer that we can be the best at."

Beyond their choices of academic specialties, states face other strategic questions: Should they emphasize the construction of lab facilities or the recruitment of scientists to fill them? Should they concentrate on promising young talent or established stars? Is it wiser to pursue economic growth through the academic grass roots or through existing companies and industries?

Utah chose to emphasize facility construction — \$200 million went to new buildings at the University of Utah and Utah State — before recruiting mostly younger researchers. Florida, Massachusetts, and Virginia are trying to help their universities recruit more senior out---of---state researchers. Arizona has a decade---old strategy for broadly building its biosciences industry that more heavily emphasizes attracting companies and cultivating entrepreneurs.

The Texas institute has incorporated all of those strategies. But halfway through its planned 10---year run, the agency is under political pressure due to concerns that some of the agency's money is being mismanaged and that the broader public mission is being sidetracked by parochial commercial interests.

Against that backdrop, Gov. Greg Abbott signed legislation last month allocating \$40 million more to help public universities poach top talent from out-of-state research institutions across all academic fields.

Ironically, that matches advice that Texas just received from New York. During a recent visit to the University of Texas' M.D. Anderson Cancer Center, the vice dean of science at New York University's Langone Medical Center, Dafna Bar-Sagi, heard concerns that the state's \$3-billion fund wasn't proving to be generous enough for some coveted scientists.

"It's not very easy for them to recruit," said Ms. Bar-Sagi, a professor of biochemistry and molecular pharmacology at NYU, "because people still need to move and live in Texas." Ms. Bar-Sagi said she had told her Texas hosts they might overcome researchers' reluctance to move there by hiring a few superstars whose presence could then lure others.

That suggestion points to a criticism of Texas' poaching efforts: Millions of recruiting dollars have given the state's medical schools "very few key thought leaders and a lot of average investigators," as David A. Brenner, dean of medicine at UC-San Diego, put it.

A desirable locale has certainly worked for New York City, Ms. Bar-Sagi said. For a long time, she said, researchers — like many other people — feared the city as unsafe. But with a drop in crime and a boom in big gifts to universities from wealthy New Yorkers, the city is now in a "golden age," she said, that makes researchers eager to come.

#### 'Likely to Lose'

Ultimately, the greatest inequity in recruiting might come not from variation among states' recruiting budgets — which in many states benefit both public and private institutions — but from the underlying gap in wealth between the publics and the privates. One public institution in the State University of New York system, Stony Brook University, received \$6 million from the state's Faculty Development Program to hire eight researchers, which led to six start-up companies, 21 patents, and \$39 million in federal grant awards, Ms. Wiederhorn's association told state lawmakers in 2012.

Now, with that state fund's having expired, Stony Brook is struggling to recruit, said Ms. Bar-Sagi, who left the Long Island institution in 2006 to join NYU. "If you have someone who is very good at a state university," she said, "you're likely to lose this individual."

Convincing lawmakers that that's a problem, however, can be a tough sell. Hard data on the effectiveness of researcher recruitment is elusive. New York colleges have produced an analysis finding that every \$1 of spending on research produces \$7.50 of economic benefit. The Georgia agency has calculated the ratio at about five to one, with \$600 million in state funds leading to \$2.6 billion in federal and private investment.

The longer-term benefits of recruiting star scientists may be even larger, once gains in student quality, institutional reputation, and other categories are factored in. But state lawmakers typically want hard short-term numbers, said Jennifer K. Ozawa, associate director of technology-based economics at SRI International, which advises states on their recruitment programs. That often leads to program budgets tied to the "easiest to measure" yardsticks, such as federal research grants, patents, and new companies, she said.

States also have trouble with the nuts and bolts of executing a recruitment strategy, she said. Many try to define for universities how much money new researchers should bring in, how closely they should work with industry, and how commercially oriented their work should be. "The big picture is one thing, but getting the details is something else," Ms. Ozawa said.

Beyond New York, some campus officials on the losing end of the recruitment game are remarkably stoic. The departure of a star researcher can hurt, but it isn't the end of the world, said James O. Woolliscroft, dean of medicine at the University of Michigan, which lost Mr. Morrison to Texas. The academic world is very small, Dr. Woolliscroft said, and many if not most departing scientists continue to have relationships with Michigan after they leave. He cited examples such as the current director of the National Institutes of Health, Francis S. Collins, who maintains strong ties to Michigan two decades after he left.

The University of Colorado at Boulder has it especially bad. It's one of the country's worst---supported public institutions, getting about \$60 million from the state for its \$1.4---billion annual campus budget. In a typical year, its provost, Russell L. Moore, has several dozen faculty members receive out---of---state recruitment offers.

Still, Colorado manages to compete for young talent because of its reputation in areas such as aerospace and geosciences, and because of a cooperative faculty ethos that encourages sharing big---dollar equipment, Mr. Moore said.

"As bothersome as it can get sometimes," he said of the pressure from outside recruiters, "I'd hate to say we're all going to stand down, because then I'm afraid that wouldn't provide incentive for our best scholars to do what they do."

<http://chronicle.com/article/Boom-in-Academic-Poaching-Is/231859/?key=ST0gIFZtbSVLNnFnaj4VZWxdaXJuZUNxYHJJOS1wbIBTFA>



## **Ethics commission to decide disclosure carve out for cancer agency**

CPRIT officials say committee member will continue to file personal financial statements

AUSTIN — A sweeping measure aimed at restoring public trust in the state's once---scandal plagued \$3 billion cancer---fighting agency appears to have created a carve---out that allows the nine---member board in charge of awarding grants to avoid filing documents with the state detailing potential financial conflicts of interest.

Following a controversy tied to how the Cancer Prevention and Research Institute of Texas awarded taxpayer---funded grants, a scandal that led to the indictment of a former high---ranking agency official, state lawmakers passed a bill in 2013 to overhaul CPRIT. The bill put in place a number of safeguards to clarify conflicts of interest, strengthen oversight of grant decisions and increase transparency.

But state Sen. Jane Nelson's Senate Bill 149 also contains language that apparently has been interpreted by state regulators to remove members of CPRIT's Oversight Committee, the agency's main governing board, from a section of state law requiring officials to file personal financial disclosure statements.

The Texas Ethics Commission is set to weigh the issue at a meeting Friday as part of a rare agency---initiated advisory opinion that could establish clear guidelines moving forward.

Members of the Oversight Committee are selected by the governor, lieutenant governor and House speaker and had carried the designation of "appointed officer" under state law, requiring them to file personal financial statements.

Nelson's CPRIT reform bill, however, has language that says individuals on the committee "serve at the pleasure of the appointing office for staggered six---year terms," which the commission has interpreted internally as meaning members no longer meet the definition of an appointed officer and are exempt from having to file a document annually that discloses stock holdings, business interests and other financial details.

The Republican from Flower Mound wrote a letter to the commission this week to clarify the intent of her bill, saying if the commission issues a formal opinion determining CPRIT committee members to do not have to file personal financial disclosure forms that the "the practical effect would be to deny the public access to personal financial statements that are critical to open government."

"It was the clear intent of the Legislature to require more public disclosure — not less," wrote Nelson, who chaired the Senate's Health and Human Services Committee during the 2013 session.

She added: "At a minimum, I respectfully request that you continue to allow Oversight Committee members to file their personal financial statements with the Texas Ethics Commission on a voluntary basis until the Legislature can revisit this matter."

CPRIT was formed after voters in 2007 approved the use of \$3 billion in bonds to finance research into curing cancer. The agency, which hands out up to \$300 million in grants a year, was the subject of a wide-ranging reform bill two years ago after news stories and a state auditor report revealed it repeatedly failed to follow its own rules. At least three grants worth a combined \$56 million were awarded without proper review.

The mismanagement caused the Legislature to remove CPRIT's 2014-15 funding from the state budget before reinstating it at the session's end as part of the reform bill.

A Travis County grand jury also ended up indicting a high-ranking agency administrator, Jerald "Jerry" Cobbs, for allegedly deceiving bosses about an \$11 million grant that never underwent the required review. Key agency figures previously had resigned in protest or under pressure. Cobbs, who also resigned, will stand trial this summer.

CPRIT officials say they became aware of the situation about Nelson's bill creating a carve out for its Oversight Committee only after lodging a call to the Texas Ethics Commission earlier this summer to ask a filing question for a new board member, said Kristen Doyle CPRIT's deputy executive officer and general counsel. That's when an official at the commission told CPRIT a decision had been made internally about its Oversight Committee members no longer having to file personal financial statements.

"This was not CPRIT initiated," Doyle said. "I did not have an oversight committee member come to me and say let's work this loophole."

Doyle said CPRIT was not notified of the change "and apparently it didn't get communicated within the ethics commission."

Oversight Committee members have filed personal financial statements with the commission in 2014 and in 2015, even after Nelson's bill was signed into law, and that they would continue to do so with CPRIT if an opinion is issued saying they no longer have to file with the state, Doyle said.

"CPRIT and our board are fully committed to transparency," she said.

[http://www.expressnews.com/news/politics/texas\\_legislature/article/Cancer-agency-disclosure-6430974.php](http://www.expressnews.com/news/politics/texas_legislature/article/Cancer-agency-disclosure-6430974.php)



# Preliminary CPRIT 2015 Conference Agenda

## Subject to Change

### Day 1 – Monday, Nov. 9, 2015

PLENARY		RESEARCH		PROD DEV		PREVENTION	
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8:30---8:45am (15 min)	<b>Welcome</b> Wayne Roberts, CPRIT CEO		
8:45---10:30 (95 min )	<b>The Promise and Perils of Immunotherapy</b> Dr. Jim Allison, M.D. Anderson; Dr. Malcolm Brenner, Baylor College of Medicine; Dr. Cassian Yee, M.D. Anderson. Moderator: Dr. Margaret Kripke, CPRIT’s Chief Scientific Officer		
10:30---10:45	Coffee Break		
10:45---11:30 (45 min)	<b>Modern Epidemiology: Dark Wood, Glimmer of Hope</b> Dr. David Katz, Director, Yale University Prevention Research Center		
11:30---12:30	Lunch Provided – No Program		
12:30---1:15pm (45 min)	<b>Environmental Carcinogenesis</b> – Dr. Julia Brody, Executive Director, Silent Spring Institute	<b>Elements of Successful Product Development Applications</b>	
1:20---2:05 (45 min)	<b>Moving From Research to Reality</b> Dr. George Georgiou, The University of Texas at Austin Dr. Barry Maurer, Texas Tech University HSC	<b>Adapting and Disseminating Evidence Based Prevention programs</b> – Dr. Ross Brownson, Washington University	
2:10---2:55 (45 min)	<b>Research Advances: Updates from CPRIT Investigators</b> Dr. Phillip Lupo, Baylor College of Medicine Dr. Melanie Cobb, UTSW	<b>Bridging the Gap: Resources Part I—Texas Incubators</b>	<b>Prevention in Practice: Academic---Community Collaborations:</b> Dr. Linda Ross, Angelo State; Dr. Kirin Shokar, Texas Tech; Dr. Andrea Caracostis, Hope Clinic. Moderator: Dr. Steve Wyatt, CPRIT PRC Chair
3:00---4:30pm (1.5 hrs)	<b>Posters (Group A)</b>		

## Day 2 – Tuesday, Nov. 10, 2015

8:00---8:45 (45 min )	<b>The Evolution of Precision Oncology: Biological Complexity, Big Data and Big Price</b> Dr. George Poste, Chief Scientist, Complex Adaptive Systems, Regents' Professor and Del E. Webb Chair in Health Innovation, Arizona State University		
8:45---9:30 (45 min)	<b>Accelerating HPV Vaccine Uptake: The President’s Cancer Panel Report</b> Dr. Abby Sandler, NCI & Executive Secretary, the President’s Cancer Panel		
9:30---9:45	Coffee Break		
9:45---10:30 <b>(45 min)</b>	<b>Liver Cancer in Texas: Causes and Cures</b> Dr. Hashem El---Serag, Baylor College of Medicine. Dr. Barbara Turner, UTHSC San Antonio.	<b>University &amp; Early Stage Company Alliances</b>	
10:30---12:00 1.5 hrs	<b>Posters Group B</b>		
12:00---1:00	Lunch Provided		
1:00---1:45 (45 min)	<b>Research Advances: Updates from CPRIT Scholars</b> Dr. Raghu Kalluri, MD Anderson Dr. Yun Huang, Texas A&M	<b>Elements of Successful Prevention Applications</b> Dr. Nancy Lee, U.S. Dept. of HHS, Dr. Ross Brownson, and Dr. Steve Wyatt	<b>Bridging the Gap: Resources Part II—Investors</b>
1:50---2:35 (45 min)	<b>Research Advances: Updates from CPRIT Investigators (TBA)</b>	<b>Prevention in Practice: Implementing Programs in Rural Communities</b> Dr. Carol Rice, Texas A&M; Dr. Rakhshanda Rahman, Texas Tech; Dr. Simon Lee, UTSW Moderator: Dr. Nancy Lee	<b>CPRIT Companies in Action : Lessons Learned</b>
2:40---3:25 (45 min)	<b>Research Advances: Updates from CPRIT Investigators (TBA)</b>	<b>Prevention Networking Interest Group (TBA)</b>	<b>CPRIT Companies in Action: Lessons Learned</b>
3:30---4:00 (30min)	<b>CPRIT: A Look Forward</b> Wayne Roberts		

**Cancer Prevention Research Institute of Texas  
Oversight Committee Status Report  
August 19, 2015**

Weaver and Tidwell, LLP (Weaver) was engaged to provide outsourced internal audit services to Cancer Prevention Research Institute of Texas (CPRIT) in April 2015. The Weaver engagement team is led by Alyssa Martin, Partner; Daniel Graves, Sr. Manager; supported by Adam Jones, Government Relations.

***Previous 2015 Internal Audit Plan***

Weaver met with CPRIT Management in May of 2015 to review the previously approved 2015 Internal Audit Plan prepared by the prior internal auditor.

Internal Audit	Description
Grants Management	An internal audit of grants management processes and controls will consider whether controls are in place to help validate that the grant application process and the subsequent review of programmatic and financial activities are operating effectively. The audit will also review whether grantee activity is adequately monitored periodically and throughout the duration of grant programs.
Expenditures	An internal audit of expenditures will consider whether controls are in place to help validate that the Agency's expenditure process and controls are operating effectively to mitigate the risk of fraudulent activity.
Information Technology	An internal audit of information technology will determine whether controls are in place to help validate that the Agency's IT environment is compliant with Texas Administrative Code. The internal audit will also consider whether general computer controls are in place and operating effectively.
Grantee Field Audits	Internal audits of various grantees will help validate if the grantees have a clear understanding of CPRIT's policies and procedures and will review whether CPRIT funds have been used in accordance with the established guidelines.
Special Projects	To be determined by Management or the Audit Subcommittee

Historically for CPRIT, the Internal Auditor has performed field monitoring procedures over the agency's grant recipients. In the last year, CPRIT Management move the responsibility for performing the grant monitoring function the Compliance Department, under the oversight of the Chief Compliance Officer, rather than Internal Audit. In coordination with the realignment of those responsibilities Weaver updated the 2015 Internal Audit Plan.

The updated 2015 Internal Audit Plan also takes into consideration the performance of a risk assessment for the purpose of preparing the 2016 Internal Audit Plan, the completion of an Annual Internal Audit Report, and the transition of grant monitoring responsibilities from Internal Audit to the compliance function.

**Updated 2015 Internal Audit Plan and Status**

Internal Audit	Description
Risk Assessment	We have reviewed CPRIT's operating environment and financial data and developed a list of significant processes and risk exposures to the agency. Weaver will discuss the results of this analysis with Management and develop a three-year internal audit plan. The risk assessment meeting is scheduled to be conducted August 28, 2015.
Grants Management	Fieldwork for this audit began on June 16, 2015 and an exit conference was held with CPRIT Management on July 15, 2015 to discuss preliminary results. Weaver issued formal findings and observations document for Management's response August 7 and anticipates issuing a draft report by August 20, 2015.
Expenditures	Fieldwork for this audit began on August 3, 2015 and an exit conference is scheduled to be held with CPRIT Management on August 21, 2015 to discuss the preliminary results and review a draft of the report.
Follow-ups of Information Technology and Governance	Fieldwork for the follow-up procedures began July 27, 2015 and an exit conference is scheduled to be held with CPRIT Management on August 21, 2015 to discuss the preliminary results and review a draft of the report.
Grantee Field Audits	<p>Follow-up procedures over prior internal audit findings from grant monitoring of grantees has been conducted. Representatives of CPRIT Management and a member of the third party grantee monitoring team from CohnReznick attended the entrance conferences for each of the grantees as part of a unified and coordinated effort to transition grantee monitoring to the Compliance Department. The grantee monitoring procedures were conducted as follows:</p> <p><b>July 13 – 17, 2015</b> Texas A&amp;M University Health Science Center</p> <p><b>July 20 - 24, 2015</b> University of Texas University of Texas Southwestern Medical Center University of Texas Health Science Center – Houston</p> <p><b>July 27 - 30, 2015</b> Texas Nurses Foundation</p> <p>Exit conferences were conducted with each of the grantees at the conclusion of fieldwork to review the preliminary results of the procedures. Weaver anticipates issuing a draft report of the grantee field audits by August 28, 2015.</p>
Project Management and Annual Report	Project management and reporting to the Audit Subcommittee are ongoing.
Special Projects	We have performed consulting with CPRIT Management on the development of agreed upon procedures to satisfy the requirements for grantees to be in compliance with the Single and Program Specific audit requirements in CPRIT contracts.

No additional matters have come to Internal Audit's attention.



Alyssa G. Martin, CPA, MBA, Internal Auditor  
Executive Partner  
Weaver and Tidwell L.L.P



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** VINCE BURGESS, CHIEF COMPLIANCE OFFICER  
**SUBJECT:** CHIEF COMPLIANCE OFFICER UPDATE  
**DATE:** AUGUST 7, 2015

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**Summary:**

CPRIT's grant management system (CGMS) reports that 114 grantee reports are missing or have not been submitted. CPRIT's grantees typically submit approximately 6,400 grantee reports throughout the year. 28 of the missing or late reports are matching fund forms to be submitted by research grantees. In most cases, CPRIT holds the grantee's reimbursement until all required reports are submitted.

CPRIT staff is working on the third part of a three-phase reconciliation project to update the reporting data in CGMS. The third phase is focused on other financial reporting forms (*i.e.*, inventory forms, HUB reports, single audit determination forms, and revenue sharing forms).

CPRIT's grant compliance specialists have completed 35 desk reviews and nine on-site compliance visits for academic research, product development research, and prevention grantees. The grant compliance specialists have also provided second-level reviews of over 350 grantee financial status reports during the past three months.

Effective July 1, 2015, CPRIT implemented a compliance and ethics hotline. This hotline is available to Oversight Committee Members, CPRIT employees, CPRIT Grantees, and the general public. This service is not run by CPRIT employees and allows users to remain anonymous if they choose.

**Submission Status of Required Grant Recipient Reports:**

CPRIT typically has 530+ grants that are either active or wrapping up grant activities. Grantees submit between 12 – 15 reports each year per grant project. This means that CPRIT grantees should submit approximately 6,400 reports annually. A summary of the required reports that a grantee must file each project year is attached.

All grantee reports are submitted for CPRIT review via CGMS. CPRIT relies upon CGMS to assist monitoring the number of late or missing grantee reports. A summary of missing reports is

produced by CGMS every week; the summary is the primary source for CPRIT's compliance staff to assess the status of missing or late reports and follow up with grantees.

As of the most recent CGMS report (August 6, 2015), 114 required grantee reports from 21 institutions, organizations, and companies have not been filed in the system by the set due date. In most cases, CPRIT does not disburse grant funds until the required reports are filed. In some instances, grantee institutions may be ineligible to receive a future award if required reports are not submitted. For the 114 missing grantee reports:

- One grant project was listed as missing a required quarterly financial status report (FSR). The grantee submitted a deferral request prior to the deadline pursuant to CPRIT's Administrative Rule § 703.21(b)(2)(B). As a result, the FSR will be due at the end of the next fiscal quarter.
- 11 grant projects have not filed required annual progress reports by the deadline. All grant projects must file annual progress reports. Annual progress reports are due within 60 days following the anniversary of the contract effective date. CPRIT will not disburse grant funds to the grantee until the progress report is submitted.
- 28 annual matching fund certification forms from 12 entities have not been submitted by the deadline. Annual matching fund certification forms must be filed with CPRIT within 60 days following the anniversary of the contract effective date. CPRIT will not disburse grant funds to the grantee until the matching fund certification is filed.

Other missing reports include annual inventory reports (27), Historically Underutilized Business (HUB) forms (21), revenue sharing forms (13), single audit determination forms (12) and final progress reports (1).

CPRIT's grant compliance specialists and the grant accountants have continued reviewing and processing incoming reports and reaching out to grantees to expeditiously resolve filing issues. As a result, significant progress has been made over the past year in identifying and processing past due reports.

### **CPRIT's Grant Reports Reconciliation Project**

Accurate, up-to-date grantee reporting data produces the most reliable CGMS results, which are crucial to CPRIT's compliance monitoring efforts. CPRIT staff initiated a comprehensive reconciliation project in 2014 to ensure that all grantee reporting data submitted to CGMS is correct and current. The grant reports reconciliation project is divided into three phases:

- The first phase, which was completed in November 2014, focused on financial status reports (FSRs). Over the course of several months, CPRIT grant accounting staff, assisted by the grant compliance specialists, reviewed and approved hundreds of late

FSRs and processed \$100+ million in grantee reimbursements. Due to the diligent efforts and support of CPRIT's grant accountants, grant compliance specialists, and program staff, all grantees have maintained up-to-date quarterly FSRs for the subsequent reporting cycles.

- The second phase of the reconciliation project, which began in December 2014, involves updating and verifying all information related to required matching funds forms. CPRIT staff is currently focusing on matching fund data for active research grants; historical matching fund information on closed grants should be incorporated into CGMS by fall.
- The third phase of the reconciliation project, which began this summer, focuses on other financial reporting forms (*i.e.*, inventory forms, HUB reports, single audit determination forms, and revenue sharing forms). When this phase started, CGMS reported that it was unable to locate more than 1,200 forms in the system. During the month of June, the number of missing reports decreased significantly, with grantees submitting over 600 reports. Grantees submitted another 500+ reports during the month of July. As of August 1, 65 reports by 16 entities were still outstanding.

CPRIT expects the reconciliation project to wrap up by August 31, 2015. At that time, any missing or late reports will be incorporated into CPRIT's routine grantee report monitoring processes. For purposes of this report, the 65 outstanding reports as part of the reconciliation project are included in the 114 total delinquent reports in CGMS.

### **Compliance Program Activities**

The Chief Compliance Officer is responsible for creating, supporting, and promoting an effective Ethics and Compliance Program and assuring the CPRIT Oversight Committee that controls are in place to prevent, detect, and mitigate compliance risk. Five main components of CPRIT's Compliance Program are highlighted below:

- Training: Kristen Doyle, Cameron Eckel, Dan Limas, and I provided two training sessions at UT Southwestern Medical Center on July 28. Over 70 people attended, including sponsored program staff from area institutions. The training covered administrative rule changes, an overview of the Compliance Program, and information for successful submission of financial status reports and other financial reports.
- FSR reviews: Over the past three months, CPRIT's grant compliance specialists have performed over 350 second-level reviews for grantee FSRs. CPRIT's grant accounting staff completes the first review of the FSRs and supporting documentation before handing them off to the compliance specialists.



- Desk reviews: A total of 35 desk reviews have been completed since July 1, 2015. Desk-based financial monitoring/reviews are conducted during the course of grant awards to verify grantees expend funds in compliance with specific grant requirements and guidelines. Desk reviews may target areas such as the grantee's administrative, fiscal, and/or operating policies and procedures, project budget and payroll records, time reporting records, project accounting and financial expenditure records, general ledger records, and programmatic reports.
- On-site visits: The grant compliance specialists have completed 9 on-site reviews during the last quarter. On-site reviews may include an examination of the grantee's financial and administrative operations, procurement and inventory procedures, personnel policies and practices, payroll and timesheet policies, travel policies and records, and single audit compliance.
- Reporting: CPRIT's Administrative Rule § 701.7, provides in part that, "The Chief Compliance Officer is responsible and will be held accountable for apprising the Oversight Committee and the Chief Executive Officer of the institutional compliance functions and activities." The required reporting includes quarterly updates to the Oversight Committee on CPRIT's compliance with applicable laws, rules and agency policies. In addition, the compliance officer must inquire into and monitor the timely submission status of required grant recipient reports. The Chief Compliance Officer has presented a compliance report to the Oversight Committee at every regular meeting since December 2012.

### **Risk Assessment Model**

Effective April 24, 2015, CPRIT contracted with CohnReznick to provide compliance program support services. CPRIT compliance staff has met several times with CohnReznick over the past two months. CohnReznick's first priority was to complete a grantee risk assessment to serve as the basis for identifying grantee entities to be reviewed.

The Risk Assessment Model considers several factors in determining grantee risk including:

- Financial exposure,
- Entity maturity, and
- Prior experience administering grants.

Based on the results of the risk assessment, grantees will receive varying levels of compliance monitoring. Methods of compliance monitoring may include a self-certification, a desk review, an onsite review, or a combination of these. The Risk Assessment Model yielded an initial list of grantees to monitor. We will be using the results of our initial monitoring to refine the specific elements of this tiered approach and further develop the grant monitoring plan for FY 2016. The Risk Assessment Model was presented to the Audit Subcommittee for review and feedback at its July 23 and August 10 meetings.



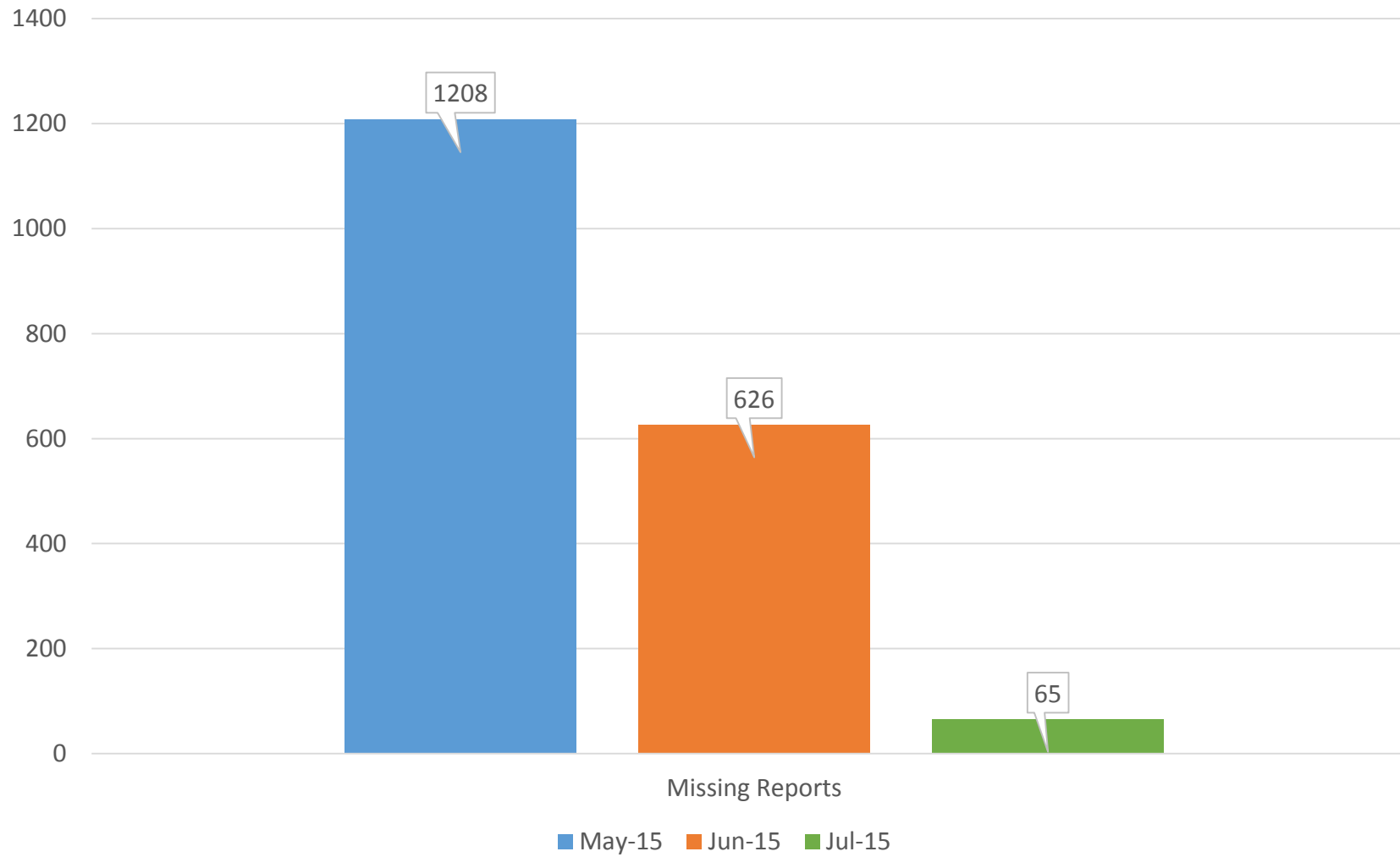
## **Fraud, Waste, and Abuse Hotline**

Effective July 1st, CPRIT implemented a compliance and ethics hotline called “Red Flag Reporting.” This service allows individuals to report any concerns regarding fraudulent activity/theft, misconduct, safety violations, or unethical behavior. This service is not run by CPRIT employees and allows users to remain completely anonymous if they choose.

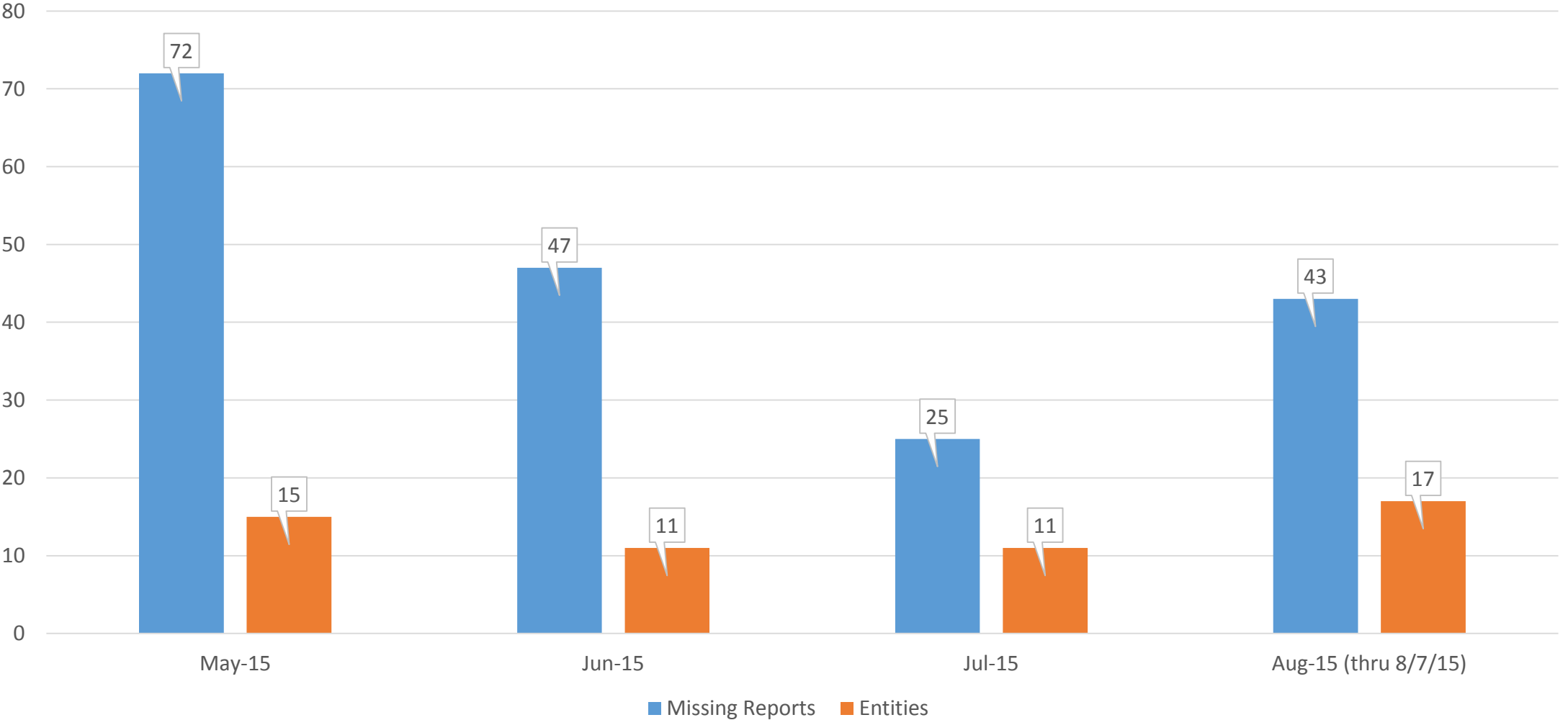
The establishment of a hotline is consistent with amendments, passed in 2013, to the Texas Health & Safety Code Chapter 102 and is part of CPRIT’s on-going efforts to ensure that the agency has strong internal controls and to protect the integrity of CPRIT’s grant process, as well as Texas taxpayer dollars. This reporting mechanism is available to Oversight Committee Members, CPRIT employees, CPRIT Grantees, and the general public. Information regarding the hotline has been communicated via CPRIT’s Grant Management System (CGMS), CPRIT’s website, and Listserv, and has been included in grantee training material.



## Grant Reports Reconciliation Project



Grant Recipient Report Monitoring (Reimbursement Holds)





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** CPRIT OVERSIGHT COMMITTEE MEMBERS  
**FROM:** HEIDI MCCONNELL, CHIEF OPERATING OFFICER  
**SUBJECT:** CHIEF OPERATING OFFICER REPORT  
**DATE:** AUGUST 5, 2015

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**CPRIT Financial Overview for FY 2015, Quarter 3**

**FY 2015, Quarter 3 Operating Budget**

For the three quarters of FY 2015, CPRIT expended approximately \$16.5 million, or 73 percent, of the agency administration budget between the Indirect Administration and Grant Review and Award Operations strategies out of \$20.3 million budgeted for the year. The primary items of expenditure are staff salaries and service contracts, particularly the contract with SRA International that provides support for the peer review meetings including processing peer review honoraria and travel.

During this quarter, CPRIT received approximately \$12,541 in revenue sharing payments which was deposited into the General Revenue Fund (0001).

**FY 2015, Quarter 3 Performance Measures**

In March 2015, CPRIT reported to the LBB on the two output measures that have quarterly reporting requirements. These measures are number of people served by CPRIT prevention and control activities and the number of entities performing cancer research relocating to Texas. The other four measures are reported annually after the end of the fiscal year so they are reflected as not applicable at this time.

**Debt Issuance History**

The Texas Public Finance Authority issued \$75 million in commercial paper notes on CPRIT's behalf at the end of June 2015. This was the last issuance for this year, bringing the total amount issued to \$244.6 million in FY 2015. The total debt issued from agency inception to date is approximately \$793.4 million.

**FY 2016 Budget Overview**

The document provides a high level picture of the agency's operating budget for FY 2016 based on the appropriations approved by the 84<sup>th</sup> Legislature for the 2016-17 biennium. It accounts for the major agency operating expenses including most of the service contracts, with the exception of grant compliance monitoring services. When we submitted the agency's Legislative Appropriations Request last summer, we did not know the cost of these services. We anticipate carrying forward some unexpended appropriations authority and budget from the agency's administration line items in FY 2015 to FY 2016. The budget we carry forward may address these costs.

In addition to the contracts of \$100,000 or more the Oversight Committee considered earlier this meeting, there are several contracts that the agency is preparing to renew for FY 2016 including:

- 1) McConnell & Jones LLP (financial audit services) for \$42,840
- 2) Grant Thornton LLP (peer review monitoring services) for \$78,800
- 3) Red Flag Reporting (fraud, waste, and abuse reporting services) for \$3,500

CPRIT is also entering into a contract with another outside legal services firm, Andrews Kurth LLP, in FY 2015 to assist CPRIT with finalizing the intellectual property and revenue sharing agreement with the product development grant award to Mirna Therapeutics. The outside counsel contract will be for a not-to-exceed amount of \$80,000 and may include additional services, such as advising CPRIT on a standard revenue sharing option that includes equity.

**Cancer Prevention and Research Institute of Texas**  
**Quarterly Financial Report**  
As of May 31, 2015

**Indirect Administration (B.1.1.)**

	<b>2015 Appropriated</b>	<b>2015 Budgeted</b>	<b>% of Total Budget</b>	<b>Actual Expenditures &amp; Grant Encumbrances (FYTD)</b>	<b>Remaining Budget</b>	<b>Percent Expended</b>	<b>Estimated Expenditures (YTD)</b>	<b>Lapse/Overspent</b>
1001 Salaries and Wages	\$ 1,571,528	\$ 1,571,528		\$ 854,363	717,165	54%	\$ 1,139,151	\$ 432,377
1002 Other Personnel Costs	50,000	50,000		13,463	36,537	27%	17,950	32,050
2001 Professional Fees and Services	992,290	992,290		556,754	435,536	56%	742,339	249,951
2003 Consumable Supplies	25,750	25,750		9,548	16,202	37%	12,731	13,019
2004 Utilities	63,648	63,648		44,068	19,580	69%	58,758	4,890
2005 Travel	24,176	24,176		19,673	4,503	81%	26,231	(2,055)
2006 Rent - Building	181,875	181,875		167,011	14,864	92%	222,681	(40,806)
2007 Rent-Machine and Other	29,644	29,644		12,732	16,912	43%	16,976	12,668
2009 Other Operating Expenses	456,500	456,500		186,745	269,755	41%	248,993	207,507
5000 Capital	979,514	979,514		823,930	155,584	0%	-	979,514
<b>Subtotal - Indirect Administration (B.1.1.)</b>	<b>\$ 4,374,925</b>	<b>\$ 4,374,925</b>	<b>1.46%</b>	<b>\$ 2,688,287</b>	<b>\$ 1,686,638</b>	<b>61%</b>	<b>\$ 2,485,809</b>	<b>\$ 1,889,116</b>

**Grant Review and Award Operations (A.1.3.)**

	<b>2015 Appropriated</b>	<b>2015 Budgeted</b>	<b>% of Total Budget</b>	<b>Actual Expenditures &amp; Grant Encumbrances (FYTD)</b>	<b>Remaining Budget</b>	<b>Percent Expended</b>	<b>Estimated Expenditures (YTD)</b>	<b>Lapse/Overspent</b>
1001 Salaries and Wages	\$ 2,654,617	2,654,617		\$ 1,690,394	\$ 964,223	64%	\$ 2,253,859	\$ 400,758
1002 Other Personnel Costs	100,000	100,000		20,798	79,202	0%	27,730	72,270
2001 Professional Fees and Services	13,278,211	13,278,211		11,969,551	1,308,660	90%	15,959,401	(2,681,190)
2003 Consumable Supplies	-	-		-	-	0%	-	-
2005 Travel	35,000	35,000		33,309	1,691	95%	44,411	(9,411)
2006 Rent - Building	32,400	32,400		23,564	8,836	73%	31,419	981
2007 Rent-Machine and Other	5,013	5,013		2,326	2,687	46%	3,102	1,911
2009 Other Operating Expenses	-	-		-	-	0%	-	-
<b>Subtotal - Grant Operations (A.1.3.)</b>	<b>\$ 16,105,241</b>	<b>\$ 16,105,241</b>	<b>5.37%</b>	<b>\$ 13,739,942</b>	<b>\$ 2,365,299</b>	<b>85%</b>	<b>\$ 18,319,922</b>	<b>\$ (2,214,681)</b>

**Grants**

	<b>2015 Appropriated</b>	<b>2015 Budgeted</b>	<b>% of Total Budget</b>	<b>Actual Expenditures &amp; Grant Encumbrances (FYTD)</b>	<b>Remaining Budget</b>	<b>Percent Expended</b>	<b>Estimated Expenditures (YTD)</b>	<b>Lapse/Overspent</b>
4000 Grants - Prevention (A.1.2)	\$ 27,977,765	\$ 27,977,765		\$ 27,890,646	\$ 87,119	100%	\$ 27,890,646	\$ 87,119
4000 Grants - Research (A.1.1.)	251,520,880	\$ 251,520,880		225,370,262	\$ 26,150,618	90%	225,370,262	26,150,618
<b>Subtotal - Grants</b>	<b>\$ 279,498,645</b>	<b>\$ 279,498,645</b>	<b>93.17%</b>	<b>\$ 253,260,908</b>	<b>\$ 26,237,737</b>	<b>91%</b>	<b>\$ 253,260,908</b>	<b>\$ 26,237,737</b>
<b>Grand Totals</b>	<b>\$ 299,978,811</b>	<b>\$ 299,978,811</b>	<b>100.00%</b>	<b>\$ 269,689,137</b>	<b>\$ 30,289,674</b>	<b>90%</b>	<b>\$ 274,066,640</b>	<b>\$ 25,912,171</b>

\* 2015 Appropriated and budgeted includes a transfer from strategy A.1.1. (Research) into strategies A.1.3. (Grant Operations) and B.1.1. (Indirect Administration) approved by the Legislative Budget Board pursuant to the 2014-15 General Appropriation Act, CPRIT Rider 5, Transfer Authority.

**Cancer Prevention and Research Institute of Texas  
Cancer Prevention and Research Institute Fund Account - 5136  
As of May 31, 2015**

	<u>05/01/2015 thru 05/31/2015</u>	<u>AY 15 Year to Date as of 05/31/2015</u>
<b><u>Beginning Balance : 05/01/2015</u></b>		<b>\$ 600,506</b>
<b>Increases:</b>		
(1)	-	
(2)	-	
<b>Total Increases</b>	<u>\$ -</u>	<u>\$ -</u>
<b>Reductions:</b>		
Expenditures - Appropriated	\$ -	\$ -
	\$ -	\$ -
	\$ -	\$ -
<b>Total Reductions</b>	<u>\$ -</u>	<u>\$ -</u>
<b><u>Ending Balance, 05/31/2015</u></b>		<b><u><u>\$ 600,506</u></u></b>

Note: (1) The Institute received a settlement from the Texas Cancer Coalition (TCC). This amount represents the final distribution and transfer of all funds (\$303,877) from the TCC which ceased operations in May 2013. These funds are in the State Treasury but are not appropriated to CPRIT. The beginning balance reflects the transfer of all TCC funds.



**Cancer Prevention and Research Institute of Texas**  
**License Plate Trust Fund Account - 0802**  
**As of May 31, 2015**

	<u>05/01/2015 thru 05.31/2015</u>	<u>AY 15 Year to Date as of 05.31/2015</u>
<b><u>Beginning Balance : 05/01/2015</u></b>		<b>\$ 15,080.00</b>
<b>Increases:</b>		
(1) License Plate Revenue Received	\$ 1,140.30	\$ 10,541.87
 <b>Total Increases</b>	 <b><u>\$ 1,140.30</u></b>	 <b><u>\$ 25,621.87</u></b>
<b>Reductions:</b>		
Expenditures - Appropriated	\$ 0.00	\$ 0.00
	-	-
	-	-
 <b>Total Reductions</b>	 <b><u>\$ 0.00</u></b>	 <b><u>\$ 0.00</u></b>
 <b><u>Ending Balance, 05/31/2015</u></b>		 <b><u><u>\$ 25,621.87</u></u></b>

Note:

**Cancer Prevention and Research Institute of Texas**  
**Appropriated Receipts - 666**  
**As of May 31, 2015**

	<u>05/01/2015 thru 05/31/2015</u>	<u>AY 15 Year to Date as of 05/31/2015</u>
<b><u>Beginning Balance : 05/31/2015</u></b>		<b>\$ 24,000.00</b>
<b>Increases:</b>		
(1) Product Development Application Fees Received	\$ -	\$ 15,000.00
(2) Appropriated Receipts applied to payments	\$ -	\$ -
<b>Total Increases</b>	<b><u>\$ -</u></b>	<b><u>\$ 15,000.00</u></b>
<b>Reductions:</b>		
Expenditures - Appropriated		\$ (24,000.00)
	\$ -	\$ -
	\$ -	\$ -
<b>Total Reductions</b>	<b><u>\$ -</u></b>	<b><u>\$ (24,000.00)</u></b>
<b><u>Ending Balance, 05/31/2015</u></b>		<b><u><u>\$ 15,000.00</u></u></b>

**Cancer Prevention and Research Institute of Texas**  
**General Revenue Fund Account - 0001**  
**As of May 31, 2015**

	<u>05/01/2015 thru 05/31/2015</u>	<u>AY 15 Year to Date as of 05/31/2015</u>
<b><u>Beginning Balance : 05/01/2015</u></b>		<b>\$ 1,000.00</b>
<b>Increases:</b>		
(1) Revenue Sharing / Royalties	\$ 8,040.88	\$ 36,446.47
<b>Total Increases</b>	<b><u>\$ 8,040.88</u></b>	<b><u>\$ 37,446.47</u></b>
<b>Reductions:</b>		
Expenditures - Appropriated	\$ -	\$ -
Sweep Account	\$ -	\$ (29,405.59)
	\$ -	\$ -
<b>Total Reductions</b>	<b><u>\$ -</u></b>	<b><u>\$ (29,405.59)</u></b>
<b><u>Ending Balance, 05/31/2015</u></b>		<b><u><u>\$ 8,040.88</u></u></b>

Note:



**Cancer Prevention and Research Institute of Texas  
FY 2015 Performance Measure Report**

Measure	Targeted Performance	QTR 1	QTR 2	QTR 3	QTR 4	Sum of QTRs	% of Mandate Attained
Number of People Served by Institute Funded Prevention and Control Activities	400,000	178,669	165,145	175,123		518,937	85.95%
Number of Entities Relocating to TX for Cancer Research Related Projects	7.00	0.00	1.00	1.00		2.00	14.29%
Percentage of Texas Regions w/ Cancer Prevention Services and Activities Initiated	100%	N/A	N/A	N/A	N/A	0%	0%
Annual Age-adjusted Cancer Mortality Rate	176.5	N/A	N/A	N/A	N/A	0	0.00%
Number of Published Articles on CPRIT-Funded Research Projects	400	N/A	N/A	N/A	N/A	0	0.00%
Number of New Jobs Created and Maintained	200	N/A	N/A	N/A	N/A	0	0.00%

**Variance Explanations**

**Number of People Served by Institute Funded Prevention and Control Activities**

CPRIT grantees deliver these education and clinical services throughout the year, so the reported number of people served is not allocated evenly for each fiscal quarter.

**Number of Entities Relocating to TX for Cancer Research Related Projects**

This output is dependent on the number of companies applying for CPRIT Company Relocation Awards that can successfully advance through CPRIT's rigorous review and evaluation process, receive and award and actually relocate operations to Texas.



**CPRIT Commercial Paper and G.O. Bond Issuance**

Fiscal Year	Amount Appropriated	Dated Issued	Amount Issued	Amount Issued for Fiscal Year	Commercial Paper or GO Bond Issuance	Series	Comments	Interest Rate
2010	\$ 225,000,000	September 9, 2009	\$ 9,100,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2010		September 9, 2009	\$ 3,600,000		Commercial Paper Notes	Series B, Tax-Exempt	Defeased with cash July 2011	Footnote 1
2010		March 12, 2010	\$ 63,800,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2010		August 26, 2010	\$ 148,500,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
				\$ 225,000,000				
2011	\$ 225,000,000	September 7, 2010	\$ 11,800,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2011		August 10, 2011	\$ 50,775,000		G.O. Bonds	Taxable Series 2011	Par amount of new money	Fixed Rate Bonds All-In-True Interest Cost 4.0144%
2011		August 10, 2011	\$ 232,045,000		G.O. Bonds (Refunding Bonds)	Taxable Series 2011	Par amount of refunding; Refunded \$233.2M of GOCP CPRIT Series A (9/9/09, 3/12/09, 8/26/09, 9/7/10)	Fixed Rate Bonds All-In-True Interest Cost 4.0144%
				\$ 62,575,000				
2012	\$ 300,000,000	September 7, 2011	\$ 3,200,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2012		December 8, 2011	\$ 3,200,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2012		March 2, 2012	\$ 12,300,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2012		June 21, 2012	\$ 15,000,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2012		August 16, 2012	\$ 42,000,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
				\$ 75,700,000				
2013	\$ 300,000,000	September 5, 2012	\$ 9,600,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2013		May 16, 2013	\$ 13,400,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
				\$ 23,000,000				
2014	\$ 300,000,000	November 22, 2013	\$ 55,200,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2014		March 12, 2014	\$ 47,000,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2014		June 17, 2014	\$ 60,300,000		Commercial Paper Notes	Series A, Taxable		Footnote 1
2014		July 8, 2014	\$ 233,280,000		G.O. Bond (Refunding Bonds)	Taxable Series 2014	Par amount of refunding; Refunded \$237.88M of GOCP CPRIT Series A	Fixed Rate Bonds All-In-True Interest Cost 3.327184%
				\$ 162,500,000				
2015	\$ 300,000,000	November 5, 2014	\$ 57,600,000		Commercial Paper Notes	Series A, Taxable		
2015		April 29, 2014	\$ 112,000,000		Commercial Paper Notes	Series A, Taxable		
2015		June 26, 2015	\$ 75,000,000		Commercial Paper Notes	Series A, Taxable		
				\$ 244,600,000				
<b>TOTAL ISSUED TO DATE</b>				<b>\$ 793,375,000</b>				

<sup>1</sup>The weighted average interest rate for Commercial Paper Notes maturing in FY 2015 = 0.16%.





**Cancer Prevention and Research Institute of Texas  
2016 Operating Budget**

	Budget 2015	Expensed 2015	Budget 2016
<b><u>Institution Operations(Indirect)</u></b>			
Salaries and Wages	\$ 1,571,528	\$ 957,771	\$ 1,413,921
Benefits		-	-
Other Personnel Costs	50,000	14,985	51,000
Professional Fees and Services:			
Temporary Staff Services	200,000	168,747	50,000
Financial Services (McConnell & Jones)	42,000	42,000	42,840
Internal Audit Services (Weaver)	217,000	19,632	200,000
Search Firm Services (SpencerStuart)	125,000		
Payroll Services Contract (HHSC)	34,200	12,035	34,200
Economic Services (Perryman Group)			150,000
Other Professional Services:			
Strategic Communication (Hahn)	174,447	155,938	149,975
Other	199,643	198,553	388,485
Consumable Supplies	25,750	9,624	26,651
Utilities	63,648	46,192	64,921
Travel	24,176	25,823	36,095
Rent - Building	181,875	167,011	-
Rent-Machine and Other	29,644	16,020	24,995
Other Operating Expenses	447,857	197,092	349,402
Professional Development (7203)	8,643	6,922	
Capital	979,514	860,437	-
<b>Subtotal - Institution Operations</b>	<b>\$ 4,374,925</b>	<b>\$ 2,898,782</b>	<b>\$ 2,982,485</b>
<b><u>Grant Review and Award Operations</u></b>			
Salaries and Wages	\$ 2,654,617	\$ 1,890,655	\$ 2,679,624
Benefits			
Other Personnel Costs	100,000	22,913	3,726
Professional Fees and Services:			
SRA International	11,509,011	11,509,011	9,693,907
Product Development Review Council (Honoraria)	213,000	159,900	213,200
Prevention Review Council (Honoraria)	110,000	82,500	110,000
Scientific Review Council (Honoraria)	340,000	245,000	340,000
Peer Review Monitoring Services (Grant Thornton)	90,000	33,486	78,800
Grant Compliance Monitoring (CohnReznick)	336,000		-
Product Development Due Diligence Services (ICO)	300,000	200,000	300,000
Outside Legal Services (Vinson & Elkins)	200,000	92,965	200,000
Outside Legal Services (Yudell Isidore)	100,000	37,575	100,000
Red Flag Reporting			3,500
Conference Contracts	80,000	-	593
Event Planning (Swift)	-	-	
Abstract Presentation (One World)	-	-	
Graphic Design / Printing Svcs	-	-	
Conference Site (Renaissance Hotel)	-	-	
Décor	-	-	
Travel	35,000	36,085	42,516
Rent - Building (Houston Office)	32,400	29,008	33,534
Rent-Machine and Other (Houston Office)	5,013	2,659	7,763
<b>Subtotal - Grant Operations</b>	<b>\$ 16,105,041</b>	<b>\$ 14,341,757</b>	<b>\$ 13,807,163</b>
<b><u>Grants</u></b>			
Grants - Prevention	\$ 27,977,765	\$ 27,890,646	\$ 28,340,035
Grants - Research	251,481,253	225,370,262	251,955,763
<b>Subtotal - Grants</b>	<b>\$ 279,459,018</b>	<b>\$ 253,260,908</b>	<b>\$ 280,295,798</b>
<b>Grand Totals</b>	<b>\$ 299,938,984</b>	<b>\$ 270,501,447</b>	<b>\$ 297,085,446</b>





CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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**To:                   OVERSIGHT COMMITTEE MEMBERS**  
**From:               WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject:           PROGRAM PRIORITIES UPDATE DISCUSSION**  
**Date:               AUGUST 4, 2015**

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CPRIT's enabling statute (V.T.C.A., Health and Safety Code Chapter 102) was modified in 2013 to require the Oversight Committee to "annually set priorities as prescribed by the legislature for each grant program that receives money under this chapter."

The priorities are to provide transparency into how the Oversight Committee directs the agency's funding portfolio between and within its three programs as well as guide CPRIT staff and Review Councils on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

The Oversight Committee priorities are to be reviewed and adjusted annually as circumstances change and new information is found concerning cancer-related advances in prevention, scientific research and product development.

The current program priorities were approved November 19, 2014. These priorities have been incorporated into RFAs released since their approval. In some cases, these priorities have only been in effect for one or two cycles of funding.

Proposed timeline:

Aug. 10-14, 2015	Each OC program subcommittee reviews the current program priorities and background information provided by each program.
Aug.-Oct. 2015	The OC program subcommittees revise/update the program priorities if needed.
Nov. 18, 2015	OC program subcommittees present recommended program priorities to the full Oversight Committee for consideration and approval.

As a result of her leadership in the Program Priorities Project last year, I've asked Dr. Becky Garcia, Chief Prevention Officer, to coordinate the FY 2016 review.





**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS  
PROGRAM PRIORITIES PROJECT REPORT**

Approved November 19, 2014

**CONTENTS:**

• About CPRIT Program Priorities Project	Page 2
• Process to Develop Program Priorities	Page 3
• Scope of Program Priorities Project	Page 3
• CPRIT's Long-Term Vision	Page 4
• Priorities Within Each of CPRIT's Programs	Page 4
○ Research Program	Page 4
○ Prevention Program	Page 6
○ Product Development Program	Page 7
• Priorities Across CPRIT's Three Programs	Page 8



## **ABOUT CPRIT PROGRAM PRIORITIES PROJECT**

CPRIT is governed by Health and Safety Code: Chapter 102. Legislation from the 83rd Texas Legislature modified that code to include enhancements to CPRIT's governance and operations. One of the specific enhancements requires CPRIT's Oversight Committee to 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 between and within its three programs as well as guide CPRIT staff and Review Councils on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

The Oversight Committee priorities are to be reviewed and adjusted annually as circumstances change and new information is found concerning cancer-related advances in prevention, scientific research and product development.

### **CPRIT Purpose**

Health and Safety Code: Chapter 102

Sec. 102.002. PURPOSES. The Cancer Prevention and Research Institute of Texas is established to:

- (1) 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 cancer and cures for cancer;
- (2) 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 this state; and
- (3) develop and implement the Texas Cancer Plan.

### **Program Priorities Legislative Mandate**

Health and Safety Code: Chapter 102

Sec. 102.107. POWERS AND DUTIES. The oversight committee shall:

- (1) hire a chief executive officer;
- (2) annually set priorities as prescribed by the legislature for each grant program that receives money under this chapter; and
- (3) consider the priorities set under Subdivision (2) in awarding grants under this chapter.



## PROCESS TO DEVELOP PROGRAM PRIORITIES

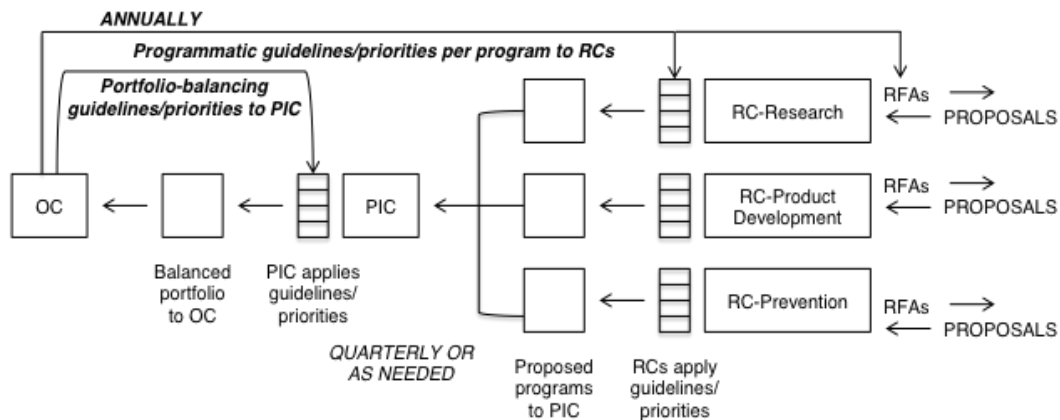
At the May 2014 meeting the Oversight Committee discussed the objectives and process for establishing the first annual program priorities. Between June and August, the Oversight Committee program subcommittees discussed guidelines and priorities. Each subcommittee developed draft program priorities for its respective program and provided input on priorities across the three programs. Draft priorities were presented to the full Oversight Committee at a working session on September 3 where the public was invited to provide input. A draft report was posted on CPRIT's website from October 3 through October 28 to solicit public input. The feedback received was and presented to the subcommittees and the Oversight Committee. This report was adopted on November 19.

## SCOPE OF PROGRAM PRIORITIES PROJECT

The Program Priorities Project establishes priorities at two levels of CPRIT's grant making process:

- **Priorities Within Each of CPRIT's Programs** – priorities to inform staff and respective Peer Review Councils (RCs) on the development and issuance of program-specific Requests for Applications (RFAs) and evaluation of applications submitted in response to those RFAs.
- **Priorities Across CPRIT's Three Programs** – priorities to inform the Program Integration Committee (PIC) on balancing the portfolio across the research, prevention and product development programs.

### Priorities and CPRIT's Grant Making Process





## **CPRIT'S LONG-TERM VISION**

As the Oversight Committee set out to establish program priorities, it began by defining the long-term vision for the agency and each of the three programs in alignment with CPRIT's mandated purpose.

Innovative projects funded by CPRIT will result in:

- A decrease in the burden of cancer in Texas through preventive measures, new diagnostics and treatments, and effective translation of discoveries into products;
- A recognition of and focus on disparities in cancer incidence, mortality and access to care;
- Significant advancements in the scientific understanding of cancer; and
- An enhanced and expanded life sciences infrastructure in the state as a result of recruiting researchers, training health care/science professionals, attracting companies and supporting investigator startups.

## **PRIORITIES WITHIN EACH OF CPRIT'S PROGRAMS**

Priorities within each of CPRIT's programs – research, prevention and product development – will inform staff and respective Peer Review Councils on the development and issuance of program-specific Requests for Applications (RFAs) and evaluation of applications to those RFAs.

CPRIT's three programs are currently guided by established key principles essential to executing CPRIT's purpose. The main principle underlying all three programs is that they will continue to ensure only applications with scientific merit will move forward in CPRIT's peer review grant process. In addition, the programs have established principles that are unique to each program. The new program priorities will supplement these principles to guide the selection of meritorious applications to address CPRIT's strategic priorities as set annually by the Oversight Committee.

*It is important to note that these priorities **do not** exclude funding in areas outside of the identified priorities.*

### **Research Program**

**Background:** The goal of CPRIT's research program is to discover new information about cancer that can lead to prevention, early detection, and more effective treatments; translate new and existing discoveries into practical advances in cancer diagnosis, treatment, and survivorship; and increase the prominence and stature of Texas in the fight against cancer. Until now, CPRIT's strategy has been to support the most creative ideas and the most meritorious projects brought forward by the cancer research community in Texas. Going forward, the overarching principles for awarding CPRIT funds will continue to be scientific excellence and impact on reducing the burden of cancer. However, more strategic deployment of funds is intended to





accelerate progress in cancer research beyond what can be achieved by simply adding incrementally to the types of cancer research funded by other agencies.

Therefore, CPRIT's research program will seek to fund projects in critical, but underfunded areas of cancer research, in addition to funding investigator-initiated, untargeted proposals. Areas of opportunity for strategic deployment of funds include prevention and early detection research; computational biology and analytic methods; rare cancers, particularly pediatric tumors, and intractable cancers, including lung, liver, pancreatic and brain cancers, with particular emphasis on population disparities and cancers of significance in Texas

Finally, it is critically important to add to the life sciences infrastructure in the State of Texas. This will enable CPRIT's impact on cancer research to extend for years beyond the lifetime of the program. Most important to increasing infrastructure is the recruitment of preeminent researchers. Such individuals bring additional resources to the State, including research funding and new expertise, as well as help build the critical mass of science needed to attract investments in the development of products for cancer prevention, diagnosis, and treatment. Also critical are the training programs that aim to produce the next generation of cancer researchers and increase the diversity of the cancer research workforce.

**Established Principles:**

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

Research Program Priorities
<ul style="list-style-type: none"><li>• A broad range of innovative, investigator-initiated research projects</li><li>• Prevention and early detection</li><li>• Computational biology and analytic methods</li><li>• Rare and intractable cancers, including childhood cancers</li><li>• Population disparities and cancers of importance in Texas</li><li>• Recruit outstanding cancer researchers to Texas</li></ul>



## **Prevention Program**

**Background:** The following principles have guided the prevention program since its inception in 2009. These principles have informed the development of the requests for applications (RFAs) and the evaluation of applications submitted in response to the RFAs.

Through the prevention program, CPRIT seeks to fund projects that:

- Are evidence based – offering effective prevention interventions based on the existing body of knowledge about and evidence for cancer prevention.
- Deliver primary, secondary, or tertiary (includes survivorship) prevention interventions – providing state of the art preventive clinical services and tailored, culturally appropriate, and accurate information to the public and health professionals.

In addition, the program has focused on providing access to underserved populations and serving the populations in most need including underinsured and uninsured individuals and those disproportionately affected by cancer.

In order to achieve some degree of balance to the prevention program portfolio, the Prevention Review Council (PRC) conducts a programmatic review of applications under consideration. During programmatic review, the Prevention Review Council (PRC) evaluates applications judged to be meritorious by prevention review panels. Programmatic considerations include:

- Potential for impact
- Geographic distribution
- Cancer type
- Type of program or service

While these principles provide guidance for the program, identifying priorities based on areas where significant cancer incidence and mortality disparities exist focuses the program further on areas of greatest need and greatest potential for impact.

Data on cancer incidence, mortality and disparities (geographic, ethnic, etc.) are reviewed annually to identify priorities and identify areas of emphasis. This information informs the development of RFAs and informs programmatic decisions during the PRC level of review.



**Established Principles:**

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

**Prevention Program Priorities**

- Prioritize populations and geographic\* areas of greatest need, greatest potential for impact
- Focus on underserved populations
- Increase targeting of preventive efforts to areas where significant disparities in cancer incidence or mortality in the state exist

*\*added 4.23.15 for clarity*

**Product Development**

**Background:** CPRIT's product development program should:

- **Identify private sector entities to develop products that will benefit cancer patients –**  
Gaps exist in the market's ability to translate research insights and product visions into FDA approved and commercially available products. These gaps may delay, or even deny, cancer patient access to important scientific advances. CPRIT should work to bridge these gaps, leveraging its funds with matching funds from other sources.
- **Selectively deploy its resources where they are most needed and can do the most good –** There are more scientifically and commercially sound product development opportunities than CPRIT is capable of funding. Thus, CPRIT should:
  - Fund commercial projects that might be "game changing" or disruptive;
  - Attract and support cancer-related life sciences companies that will create jobs in Texas;
  - Attract matching funds and additional investments from other sources; and
  - Act in conjunction, but not in competition, with private funding sources or other governmental funding sources.



**Established Principles:**

- Moving forward the development of commercial products to diagnose and treat cancer and improve the lives of cancer patients
- 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**

- 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

**PRIORITIES ACROSS CPRIT'S THREE PROGRAMS**

Establishing priorities across CPRIT's research, prevention and product development programs will inform the Program Integration Committee (PIC) on balancing the portfolio across the three programs.

CPRIT's structure, which includes programs in research, prevention and product development, presents a unique opportunity for funding projects that span the continuum from discovery to delivery to the public and creating synergy across the spectrum. While CPRIT programs would continue to fund a broad range of programs and cancer types, selecting areas of emphasis where CPRIT could have an impact and distinguish it from other funding sources provides a basis for focusing resources and guiding decisions when resources are limited. The recommended areas of emphasis outlined below also correspond to unmet needs – places in the cancer research and care continuum where existing institutions have not provided strong programs or results.

*It is important to note that these priorities serve as strategic areas of emphasis and do not exclude funding in areas outside of the identified priorities.*



### **Prevention and Early Detection Initiatives**

**Rationale:** Nowhere is there greater potential to reduce the burden of cancer than by reducing its incidence. This spares people and families from the psychological and emotional trauma of a cancer diagnosis, the often devastating physical consequences of cancer therapies, and the financial burden associated with cancer treatment. In addition, the current emphasis in cancer research on finding cures for advanced cancers has serious limitations. Thus far, attempts to control cancer by chemotherapy, radiation, and even targeted therapy have been thwarted by the ability of cancer cells to develop resistance to these treatment modalities. Detecting cancer early in its development is a more desirable approach to cancer control. In spite of the potential impact of prevention and early detection on reducing the cancer burden, these areas of cancer research receive little funding relative to funding devoted to curing advanced cancer.

**Emphasis:** Ideally, research would create the evidence base for new approaches to prevention and early detection, product development would provide new methods, diagnostics, imaging or devices for early cancer detection, and the prevention program would implement interventions to put these new approaches into practice once a solid evidence base of effectiveness exists. Strategies would include each program issuing either a targeted RFA or listing prevention and early detection as an area of emphasis (among others) within current RFAs. In addition, the programs can explore RFAs that could span programs, e.g. RFAs that would support a research component to a prevention project.

### **Early Translational Research**

**Rationale:** One well-documented impediment to bringing the results of basic research to bear on cancer is the shortage of funding to translate new discoveries into practical advances for cancer patients. Research and development are needed between the stages of discovery science, traditionally funded by grants from federal sources and foundations, and late term development and commercialization of drugs, devices, diagnostic tests, and biologicals traditionally funded by private sector industries. Data indicate that such translational research is underfunded and would benefit from additional investment. Funding such research and development by CPRIT could have the added benefit of stimulating public-private partnerships and bringing new commercial investments to Texas.

**Emphasis:** Funding translational research that bridges the gap between basic research and product development, and between research on preventive measures and new technologies for early detection and on adaptation of tested interventions represents opportunities for inter-program strategic investment by CPRIT. The time needed to move some projects from research to products is often lengthy and may limit the role of the prevention program in this area of emphasis.



**Enhance Texas' Research Capacity and Life Science Infrastructure**

**Rationale:** CPRIT's statute emphasizes enhancing research superiority, increasing applied science and technology research capabilities and increasing high-quality jobs in the state. All three programs contribute to enhancing the research, life science and cancer control workforce and infrastructure in the state.

**Emphasis:** Establishing a critical mass of cancer researchers in Texas is possible by supporting the recruitment of cancer scientists and clinicians, at all career levels, to academic institutions in Texas and through training programs in which pre- and post-doctoral fellows are educated to become cancer researchers. The recruitment program has been successful in enhancing Texas' cancer research efforts and increasing the external visibility of the state in the medical and scientific communities.

CPRIT's investments in product development help to build Texas' life-science industry. While bringing a product to market can take time, jobs and economic activity are generated throughout the process. Every CPRIT award includes intellectual property requirements that specify a revenue return to Texas through the successful development of CPRIT-funded drugs, devices, diagnostics or services.

The prevention program supports the education and training of health care professionals and community workers, thereby increasing the state's capacity for cancer prevention and control activities. By requiring collaborative partnerships, the program also creates incentives for organizations and individuals to collaborate to tackle community problems through networks that can mobilize resources and avoid duplication of efforts. Implementing system changes (such as reducing wait times between screening and diagnostics, implementing patient reminder systems) by CPRIT funded programs also improves the infrastructure for the delivery of preventive interventions.



**Summary: Priorities Across CPRIT's Three Programs**

Below is a table summarizing how each of CPRIT's three programs would implement the recommended areas of emphasis outlined above.

	<b>Prevention and Early Detection Initiatives</b>	<b>Early Translational Research</b>	<b>Enhance Texas' Research Capacity and Life Science Infrastructure</b>
<b>Research Program Implementation</b>	Create the evidence base for new approaches to prevention and early detection.	Identify CPRIT funded basic research that could translate new discoveries into practical advances.	Increase workforce and infrastructure: researcher recruitment, training grants and core facilities.
<b>Prevention Program Implementation</b>	Implement programs to put these new approaches into practice and continue to fund what is known to work (evidence based).	Due to long lead-time to product development, there may be limited role for prevention to implement programs resulting from this research.	Implementing systems change, developing partnerships and collaborations, training of community and healthcare providers, and creating new jobs.
<b>Product Development Program Implementation</b>	Fund new tools, technologies, methods and devices for early cancer detection and prevention.	Fund translational research that bridges the gap between basic research and product development.	Build up life sciences infrastructure and industry in Texas and create new high paying jobs.







CANCER PREVENTION & RESEARCH  
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## SUBCOMMITTEE ASSIGNMENTS

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### Audit Subcommittee

Angelos Angelou (Chair)

Will Montgomery

William Rice, M.D.

### Scientific Research Subcommittee

William Rice, M.D. (Chair)

Will Montgomery

Dee Margo

### Board Governance Subcommittee

Amy Mitchell (Chair)

Pete Geren

Ned Holmes

Dee Margo

### Prevention Subcommittee

Cynthia D. Mulrow, M.D., MSc., MACP  
(Chair)

Pete Geren

Amy Mitchell

### Nominations Subcommittee

Ned Holmes (Chair)

William Rice, M.D.

Craig Rosenfeld, M.D.

Dee Margo

### Diversity Subcommittee

Cynthia D. Mulrow, M.D., MSc., MACP  
(Chair)

Amy Mitchell

William Rice, M.D.

### Product Development Subcommittee

Craig Rosenfeld, M.D. (Chair)

Angelos Angelou

Ned Holmes

### Contract Issues Subcommittee

Pete Geren

Amy Mitchell

Will Montgomery

Craig Rosenfeld, M.D.





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CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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<b>TO:</b>	OVERSIGHT COMMITTEE MEMBERS
<b>FROM:</b>	NED HOLMES, NOMINATIONS SUBCOMMITTEE CHAIR
<b>SUBJECT:</b>	INTENTION TO RECOMMEND APPROVAL OF SLATE OF OFFICER CANDIDATES
<b>DATE:</b>	AUGUST 14, 2015

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**Summary and Recommendation:**

The Nominations Subcommittee intends to present the following slate of officer candidates for approval by the Oversight Committee: Pete Geren, Presiding Officer (Chair), Will Montgomery, Assistant Presiding Officer (Vice Chair), and Amy Mitchell, Secretary. The Oversight Committee must vote to approve the slate of officer candidates at its meeting on August 19, 2015.

**Discussion:**

Texas Health and Safety Code § 102.104 requires the Oversight Committee to elect a presiding officer and assistant presiding officer from among its members every two years. Although the Oversight Committee may elect additional officers, the presiding officer and assistant presiding officer may not serve in the position to which the officer was elected for two consecutive terms. CPRIT's Bylaws set the officer election at the last regular meeting of the state fiscal year in each odd-numbered year.

The Bylaws were amended at the May 20, 2015, Oversight Committee meeting to provide that the Nominations Subcommittee may recommend candidates for the Oversight Committee's consideration. The Nominations Subcommittee, working with Dr. Rice, the outgoing Oversight Committee presiding officer, has identified qualified members that are willing to serve in CPRIT's three officer positions: Pete Geren, Presiding Officer (Chair), Will Montgomery, Assistant Presiding Officer (Vice Chair), and Amy Mitchell, Secretary. The Nominations Subcommittee recommends Oversight Committee approval of the slate of candidates.





CANCER PREVENTION & RESEARCH  
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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER  
**SUBJECT:** FUTURE MEETING DATES  
**DATE:** AUGUST 7, 2015

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In 2014 the Oversight Committee (OC) adopted a permanent meeting schedule to facilitate planning and meeting preparation. The permanent schedule also established a structure for OC subcommittee meetings held in advance of the full OC meetings.

The adopted schedule sets OC meetings on the third Wednesday of the quarterly months of November, February, May, and August.

The meetings were also set, as a general rule to start at 10:00am, though on occasion this has been altered, especially for special meetings.

Based on the previously adopted schedule, quarterly OC meetings for the 2016-17 biennium are:

<b>Fiscal Year 2016</b>	<b>Fiscal Year 2017</b>
November 18, 2015	November 16, 2016
February 17, 2016	February 15, 2017
May 18, 2016	May 17, 2017
August 17, 2016	August 16, 2017

The general subcommittee schedule is attached.





## Oversight Committee Meetings and Standing Subcommittee Meetings FY 2016

### November 2015

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1	2	3 PIC Meeting CPRIT Staff Only	4 Portal Opens	5 Board Governance	6 Diversity	7
8	9 Audit	10 Prevention	11 Sci Research	12 Prod Dev	13 Nominations	14
15	16	17	18 <b>Oversight Committee Meeting</b>	19	20	21

### February 2016

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1/31	1	2 PIC Meeting CPRIT Staff Only	3 Portal Opens	4 Board Governance	5 Diversity	6
7	8 Audit	9 Prevention	10 Sci Research	11 Prod Dev	12 Nominations	13
14	15	16	17 <b>Oversight Committee Meeting</b>	18	19	20

### May 2016

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1	2	3 PIC Meeting CPRIT Staff Only	4 Portal Opens	5 Board Governance	6 Diversity	7
8	9 Audit	10 Prevention	11 Sci Research	12 Prod Dev	13 Nominations	14
15	16	17	18 <b>Oversight Committee Meeting</b>	19	20	21

### August 2016

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
7/31	1	2 PIC Meeting CPRIT Staff Only	3 Portal Opens	4 Board Governance	5 Diversity	6
7	8 Audit	9 Prevention	10 Sci Research	11 Prod Dev	12 Nominations	13
14	15	16	17 <b>Oversight Committee Meeting</b>	18	19	20

*Note: Unless the subcommittee members agree to a different time, all subcommittee meetings will begin at 10:00 a.m. with the exception of Diversity and Nominations that will begin at 10:30 a.m. Members of the Audit and Program subcommittees should allocate 1.5 hours for a meeting. All others subcommittee meetings require one hour.*







## Oversight Committee Meetings and Standing Subcommittee Meetings FY 2017

### November 2016

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
10/30	10/31	1 PIC Meeting CPRIT Staff Only	2 Portal Opens	3 Board Governance	4 Diversity	5
6	7 Audit	8 Prevention	9 Sci Research	10 Prod Dev	11 Nominations	12
13	14	15	16 <b>Oversight Committee Meeting</b>	17	18	19

### February 2017

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1/29	1/30	1/31 PIC Meeting CPRIT Staff Only	1 Portal Opens	2 Board Governance	3 Diversity	4
5	6 Audit	7 Prevention	8 Sci Research	9 Prod Dev	10 Nominations	11
12	13	14	15 <b>Oversight Committee Meeting</b>	16	17	18

### May 2017

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
4/30	1	2 PIC Meeting CPRIT Staff Only	3 Portal Opens	4 Board Governance	5 Diversity	6
7	8 Audit	9 Prevention	10 Sci Research	11 Prod Dev	12 Nominations	13
14	15	16	17 <b>Oversight Committee Meeting</b>	18	19	20

### August 2017

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
7/30	7/31	1 PIC Meeting CPRIT Staff Only	2 Portal Opens	3 Board Governance	4 Diversity	5
6	7 Audit	8 Prevention	9 Sci Research	10 Prod Dev	11 Nominations	12
13	14	15	16 <b>Oversight Committee Meeting</b>	17	18	19

*Note: Unless the subcommittee members agree to a different time, all subcommittee meetings will begin at 10:00 a.m. with the exception of Diversity and Nominations that will begin at 10:30 a.m. Members of the Audit and Program subcommittees should allocate 1.5 hours for a meeting. All others subcommittee meetings require one hour.*

