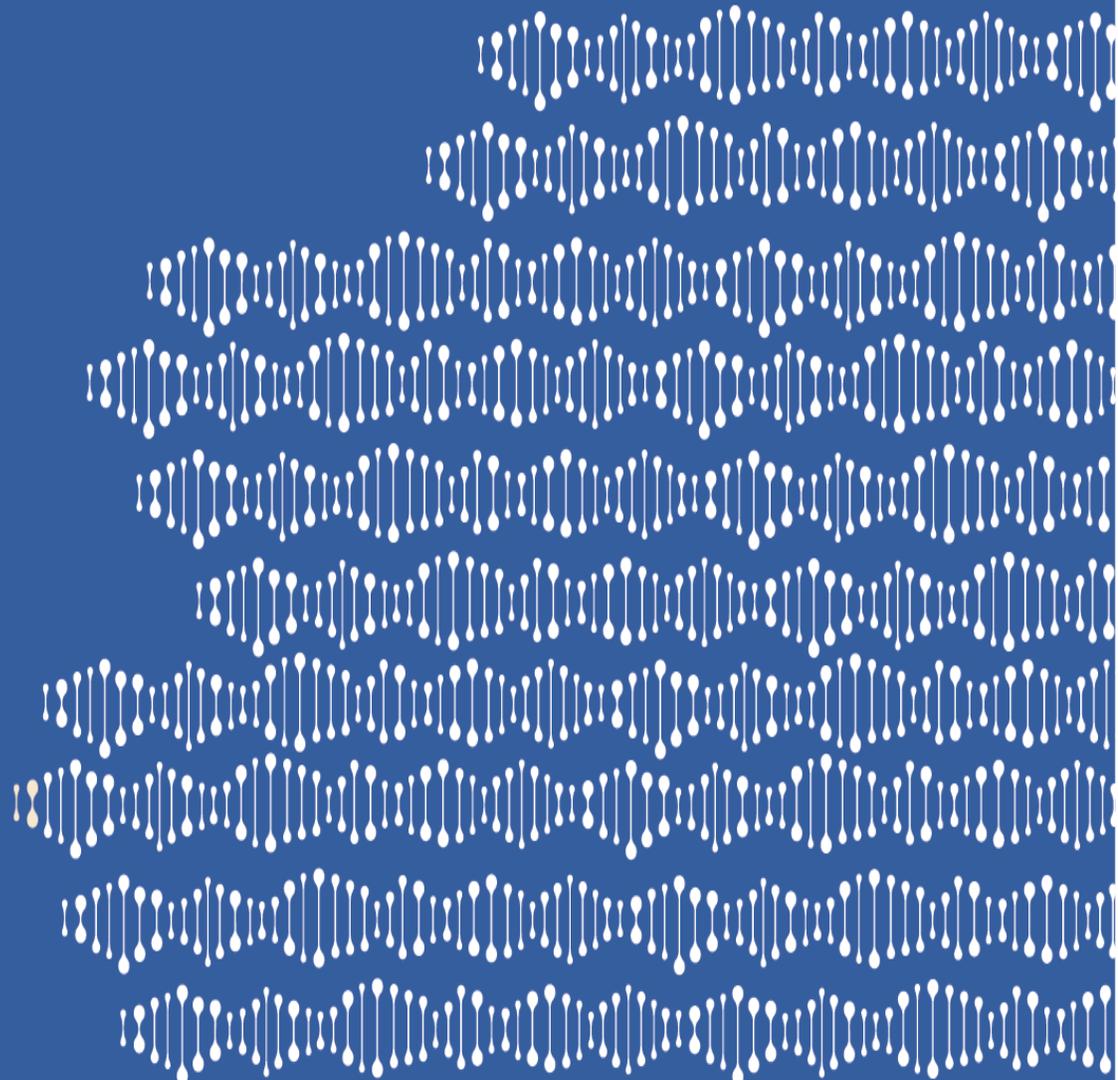




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Oversight Committee Meeting

April 20, 2015





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Oversight Committee Meeting Agenda

Office of the Cancer Prevention and Research Institute of Texas
William B. Travis Building
1701 N. Congress Avenue, Austin, Texas 78701, Suite 6-127
Room: Carson Leslie Conference Room

April 20, 2015
11:00 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.

Opening

1. Call to Order
2. Roll Call/Excused Absences

Public Comment and Staff Reports

3. Public Comment*
4. Chief Executive Officer Report **TAB 1**

Program Activities

5. Academic Research Grant Award Recommendations **TAB 2**
6. Grant Award Funding for FY 2015 **TAB 3**
7. License Plate Revenue For Disbursement in FY 2015 **TAB 4**

Agency Business

8. Health & Safety Code § 102.1062 Waiver **TAB 5**
9. Personnel –Chief Scientific Officer position
10. Executive Search Firm Contract **TAB 6**
11. Consultation with General Counsel

Closing

12. Future Meeting Dates and Agenda Items
13. Adjourn

** 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.*



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER
Subject: AGENDA ITEM 4, CHIEF EXECUTIVE OFFICER REPORT
Date: APRIL 10, 2015

Behind this memo is a copy of the March 31, 2015, CPRIT Activities Update report. These updates began in March 2014 to provide an overview of significant or unique staff activities that occur in the months the Oversight Committee does not meet.

As of this writing the Chief Executive Officer Report for the April 20, 2015, Oversight Committee meeting will consist of a verbal update on legislative activities and status of various CPRIT staff personnel recruitments. Other topics may be added as warranted.

CPRIT has awarded **866** grants totaling **\$1.239 billion**

- 135 prevention awards totaling \$121.6 million
- 731 academic research and product development research awards totaling \$1.117 billion

Of the \$1.117 billion in academic research and product development awards

- 31.8% of the funding (\$355.1 million) supports clinical research projects
- 27.2% of the funding (\$303.7 million) supports translational research projects
- 21.6% of funding (\$241.5 million) supports recruitment awards
- 16.8% of the funding (\$187.4 million) supports discovery stage research projects
- 2.6% of funding (\$29.5 million) supports training programs.

CPRIT has 8 open Requests for Applications (RFAs)

- 3 Research Recruitment
- 5 Academic Research



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
Subject: CPRIT ACTIVITIES UPDATE – MARCH 2015
Date: MARCH 31, 2015

Topics in this update include: Preparation for the April Oversight Committee meeting, CPRIT staffing, Program updates, legislative update, ongoing projects, and outreach efforts.

Preparation for the April 20 Oversight Committee Meeting

The Oversight Committee is scheduled to meet April 20 at 11:00 a.m. at CPRIT's office in the Travis Building. Due to legislative activities the Oversight Committee will not be able to meet in the Texas Capitol Extension until the August 2015 meeting, at the earliest. The final agenda for the Oversight Committee meeting will be posted by April 10; a tentative agenda is attached.

A major agenda item will be consideration and approval of the Program Integration Committee (PIC) award recommendations for recruitment grants. The PIC will meet April 8 to review the grant award recommendations made by the Scientific Research Review Council.

Another item of discussion will be available grant funding for the rest of the FY 2015. If the Oversight Committee approves both of the recruitment awards at the upcoming meeting, then the amount of research grant funding left to be awarded for the rest of the fiscal year is about \$70 million. Based on projections made after the academic research peer review panels met earlier this month, CPRIT staff anticipates that academic research award recommendations to be considered at the May meeting will total about \$65 million. The product development research grant recommendations in May will total up to \$36 million.

CPRIT will send you an email with a link and password to access the PIC's recommendations via the grant award portal by April 9. The portal will have 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 April 13. It is our intention to make hard copies of the agenda packet for all members only at the meeting on April 20.

Personnel Changes and Job Openings

CPRIT has seven open positions; we are in the process of filling the following six positions:

- The Chief Compliance Officer position was posted with applications due March 25. CPRIT staff is currently reviewing applications and will schedule interviews in April.
- The Operations Specialist position was reposted with applications due April 6. This person will assist Lisa Nelson, Operations Manager, with personnel, office management, and grants management.
- The job posting for the vacant Grant Accountant position was reposted with applications due April 6.
- The job posting for the vacant Grant Specialist position has closed. CPRIT staff conducted interviews and a final decision is expected shortly.
- Two IT positions were posted; the Systems Administrator position has closed and the Programmer position was reposted with applications due April 3.

Facilities Update

CPRIT staff moved into CPRIT's new offices in the Travis Building on February 23, 2015. This was the second of two moves that the CPRIT staff has made since August 2014. It is less than ideal to move the entire office twice in six months (a period that covers five Oversight Committee meetings and the start of the 84th Legislative Session). CPRIT staff managed both office moves with a minimum of disruption in our operations.

CPRIT's Conference Rooms Named for Carson Leslie and James Ragan

CPRIT's new offices include two new conference rooms. CPRIT staff were invited to submit proposals to name the two rooms and a final vote was taken by the entire staff. I am pleased to announce that the new conferences rooms will be named for Carson Leslie and James Ragan. You are familiar with CPRIT's strong connection to Carson Leslie through the energetic advocacy of Annette Leslie, a member of CPRIT's Advisory Committee on Childhood Cancer.

James Ragan also left a lasting impact on CPRIT. James was diagnosed with osteosarcoma, a form of bone cancer, at the age of 13 in June of 2006. His was one of only about 400 cases of pediatric bone cancer diagnosed nationwide each year. James and his sister, Mecklin, established a foundation, Triumph Over Kid Cancers, to research new treatments. James was invited to speak at a CPRIT Oversight Committee meeting in 2012 and he implored the members to consider the impact of pediatric cancers. According to his website, he understood that he and other young people would die, in some sense having been left on their own, because pediatric bone cancer is so rare it gives corporations little incentive to pursue treatments and cures. "It takes a lot more energy to sit around and get mad about it than to go out and do something," James told the *Houston Chronicle* shortly after speaking to CPRIT. "When you're at MD Anderson or any cancer hospital ... you look to the left or the right of you and you see a lot of

people who are a lot worse off. You really do. I've had that exact same feeling since the beginning. Yeah, my story is sad — doesn't seem to be getting any better — but at the same time I'm incredibly fortunate. I beat the five-year survival rate ... When you think about that, it's kind of a privilege to me to get to do the work that I've done, to have been blessed to have made a small impact, and to continue working toward it to represent a lot of friends and family and people who haven't made it as far as I did." James died February 17, 2014.

Naming the conference rooms for these two young men is another way for all of us at CPRIT to keep our mission front and center every day.

Cancer: The Emperor of All Maladies Screening at the Capitol

The preview screening of Ken Burns' new documentary, *The Story of Cancer: The Emperor of All Maladies*, on March 25 at the Capitol Extension Auditorium was a big success, with more than 150 people in attendance for the evening presentation. Dr. Rice moderated a panel discussion of cancer experts (Drs. Emil Freireich, Margaret Kripke, Debra Patt, and Greg Aune) following the screening. Dr. Freireich is also featured in the documentary for his work to prove the efficacy of combination chemotherapy and neoadjuvant therapy, which the American Association of Cancer Researchers describes as "two of the most important cancer treatments in the 20th century."

The three part documentary is airing nationwide March 30 – April 1, 2015, on local PBS stations. A [video](#) of the panel discussion of cancer experts is available via the media gallery on CPRIT's website.

Grantee Reporting

CPRIT staff efforts to improve monitoring, education, and communication with grantees continue to have positive results. CPRIT grantees are filing reports on a timely basis and grantee questions are answered promptly. Grantees recently completed the second cycle of Financial Status Report (FSR) submissions under the new administrative rule that imposes penalties for failing to submit timely filings. I am pleased to report that for the second straight cycle, all grantees have submitted their FSRs by the deadline or requested to defer submission until the next FSR due date. As a result, no grantee expenses were waived.

Additionally, CPRIT's Grant Compliance Specialists are continuing to perform desk reviews on selected grantees. To date, 13 desk reviews have been completed and six desk reviews are currently being performed. The results of the desk reviews have been positive, with grantees complying with staff requests for documentation and evidence of proper policies and procedures. The Grant Compliance Specialists have also made eight site review visits and five more site review visits scheduled in the coming weeks. Several orientation visits to new grantees are planned, which will entail a thorough review of CPRIT grantee reporting responsibilities and will

address frequently asked questions and assist in educating new grantees on required reporting procedures. This heightened level of customer service is expected to improve compliance reporting over the long term.

Matching Fund Forms

Work continues on our efforts to ensure that CPRIT matching fund records are complete. SRA International (SRA), CPRIT's third party contractor and grants management system operator, identified a significant number of matching fund forms from prior years that it was unable to locate in the electronic grant management system. Many of the "missing" documents exist in CPRIT's files, but were inadvertently not transitioned to the electronic grant management system in November, 2012, or were not recognized by the system as matching fund forms. While CPRIT staff has located many of these forms, it also appears that for a period of time, due to a programming error, the grants management software did not generate a matching fund form for grantees to fill out in mid to late 2014. SRA continues to work to resolve the reporting software issues and reportedly is close to resolution. CPRIT staff is preparing guidance for grantees to submit additional matching fund information.

Compliance Program Design Project

Staff's recommendation to contract with Cohn Reznik to provide support for CPRIT's compliance program was approved at the February Oversight Committee meeting. The contract was forwarded to the Legislative Budget Board (LBB) for approval on February 25. Once CPRIT receives approval from the LBB, we will work with Cohn Reznik staff to expand CPRIT's compliance activities.

CPRIT released an RFP for hotline services in January. CPRIT staff are currently reviewing the responses and expect to execute a contract in April. Because the amount of the contract will not exceed \$100,000, Oversight Committee approval is not necessary.

Scientific Research Program Update

- FY 2015 Recruitment Applications: The Scientific Review Council considered six applications for recruitment awards at its March 26 meeting and has forwarded two of these to the PIC and Oversight Committee for their consideration. These recommendations will be acted upon by the Oversight Committee at the April meeting. Twelve additional applications have been received and will be reviewed by the Scientific Review Council in April for consideration by the Oversight Committee in May.
- FY2015 Cycle 2 Applications: In response to RFAs released for Multi-investigator Research Awards (MIRA), High Impact-High Risk (HIHR) Research Awards, and Core Facility

Support Awards (CFSA), 159 applications were reviewed by the Research Peer Review Panels between March 8 and 18, 2015. Each MIRA application consisted of 3-5 projects and 1-2 support cores, for a cost of up to \$10M each over five years. Of the 42 MIRA applications reviewed, only two were recommended for funding by the peer review panels (4.7%). One MIRA addressed liver cancer, which is a cancer of special concern in Texas; the other is a study of androgen-resistant prostate cancer. The dollar amount recommended for both grants is \$16M.

There were 100 HIHR applications reviewed, of which 16 (16%) were recommended, for a total of \$3.2M. Seventeen applications for CFSA were reviewed, and six were recommended (35%) for a total amount of \$30.95M. All CFSA proposals were submitted from different institutions, since only one application per institution was allowed. The total amount recommended for all three types of awards is \$50,160,184. The overall success rate for this round was (15.1%).

These recommendations will be considered by the Scientific Review Council at its meeting on April 13, 2015, and will come to the OC for action at its May 20, 2015, meeting.

- FY2016 Cycle 1 Requests for Applications: RFAs have been released for the next round of applications. They include an RFA for new and renewal applications for Research Training Awards, untargeted Individual Investigator Research Awards (IIRAs), and three targeted IIRAs for Childhood and Adolescent Cancers, Prevention and Early Detection, and Computational Biology. The due date for these applications is May 20, 2015, and they will be reviewed by the peer review panels in September, 2015. Any grant recommendations are expected to be taken up in November, 2015.

Product Development Research Program Update

- FY2015 Cycle 1 Product Development Research Applications: Four applications are undergoing due diligence and will be taken up by the Product Development Review Council in April. Recommendations are expected to be presented to the Oversight Committee meeting in May.
- FY2015 Cycle 4 Product Development Research Applications: CPRIT received 15 Product Development Research applications from companies in response to the RFA that closed February 9. RFAs for this cycle specifically targeted established product development program priorities. The first screening of these by the review panels took place on March 26. Based on the initial review, ten companies have been invited to make in-person presentations to the Product Development Research review panel April 27-28. Any grant

recommendations are expected to be presented to the Program Integration Committee and the Oversight Committee in November.

- Other Activities: Activities are primarily focused on contract completion for nine pending grants. Dr. Goodman, Kristen Doyle, Cathy Allen and I are scheduled for a site visit with Molecular Templates in Georgetown on March 31.

Prevention Program Update

- FY2015 Review Cycle 2: CPRIT received 37 applications in response to four prevention RFAs that were released on September 25, 2014. Two RFAs, Evidence-Based Cancer Prevention Services-Colorectal Cancer Prevention Coalition and Cancer Prevention Promotion and Navigation to Clinical Services, were offered for the first time. Peer reviewers met February 23-25 in Dallas to evaluate the applications. The Oversight Committee will consider recommendations forwarded by the Program Integration Committee in May.
- FY2016 Review Cycle 1: Five RFAs will be released in April, including the new Dissemination of CPRIT-funded Cancer Prevention and Control Interventions. This RFA solicits applications that will describe and package strategies or approaches to introduce, modify and implement previously funded, successful CPRIT projects. The other four RFAs have been released before but are being revised to include the approved program priorities and changes to the areas of emphasis. Changes to the areas of emphasis include screening for Hepatitis B and C for the prevention of liver cancer. Grant recommendations from this cycle will be considered at the November Oversight Committee meeting.
- Other Activities: Prevention Review Council meetings were held March 24 and March 27 to discuss the new Dissemination RFA as well as changes to the current RFAs. Fifty-nine grantees submitted quarterly progress reports; these were reviewed and approved in preparation for the performance measures report due to the Legislative Budget Board on April 3. Dr. Garcia and Ramona Magid attended the Scientific Research Prevention Research peer review on March 17 in Dallas.

Communications

In addition to work on the *Cancer: The Emperor of All Maladies* screening at the Capitol, Communications' activities in March include:

- A new document highlighting accomplishments of CPRIT's grants programs was completed and distributed extensively at the Capitol. We plan to update the information quarterly. The achievements report has been provided to medical reporters at *The Wall Street Journal*, *The*

New York Times, *Forbes*, *Time*, and NPR in hopes of generating national coverage of the cancer work being done in Texas.

- The *Texas Medicine* March cover story is titled “The Next Generation of Cancer Research and Prevention” and features Dr. McClellan, a CPRIT grantee.
- Dr. Kripke and I were interviewed by the *Dallas Business Journal* for a positive story about how CPRIT has helped bring 30 top cancer researchers to UT Southwestern.
- Planning for the November 9-10, 2015 conference is underway. An RFP for meeting planning services was issued and executed by CPRIT staff. Because the amount of the meeting services contract is less than \$100,000, neither Oversight Committee nor Legislative Budget Board (LBB) approval is necessary. Ideas for topics and speakers are being discussed at Review Council and program Oversight Committee subcommittee meetings.

Legislative Activities

The 84th Regular Session of the Texas Legislature passed the halfway mark on March 23. The schedule of committee hearings and legislative activity has increased.

Meetings

Since February 18 I have met with more than 16 legislators and legislative staff, excluding regular meetings with staff working for Sen. Nelson and Rep. Keffer. These discussions vary but generally include CPRIT achievements, our budget request, and explanation of the product development program. This latter issue is done to contrast our program with other state economic development incentive programs and to explain the length of time it takes to get a product or drug from the research lab to the bedside.

Legislation

Four bills specifically affecting CPRIT were filed this session. The deadline for filing non-emergency bills was March 13, so no new bills affecting CPRIT are expected this session. A short description of each bill and its status (in bold and italicized) is provided below:

- Senate Bill 197 (Schwertner) implements an interim study recommendation from the Senate Committee on Health & Human Services which Senator Schwertner currently chairs. It instructs CPRIT to develop a plan to identify how the agency will become financially self-sufficient after the issuance of the \$3 billion in general obligation bonds. The plan should indicate how CPRIT will operate without state funding with the exception of patent royalties and license revenues from CPRIT projects. The plan must specify steps to accomplish the transition to self-sufficiency, identify sources of non-state funds on which to operate, and determine how we will structure state-funded grants through FY2021 to ensure that all grants that use state money are closed out by that date.

SB197, with amendments offered by Senator Watson and acceptable to the author, was passed by the Senate on a 30 – 1 vote. SB197 has been received by the House and is awaiting assignment to a House committee for consideration.

- House Bill 1282 (Zerwas) requires CPRIT to collaborate with the Department of State Health Services to develop a strategic plan to significantly reduce morbidity and mortality from human papillomavirus-associated cancer. *HB1282 was passed out of the House Committee on Public Health and has been recommended to be put on the House Local & Consent calendar, which means that it will not be debated on the House floor.*
- House Bill 1952 (Springer) prohibits CPRIT from awarding a grant for the purpose of expediting innovation and product development of a private sector entity, or to attract, create, or expand a private sector entity. *HB1952 was referred to House Committee on Public Health. A committee hearing date has not been set.*
- House Bill 4062 (Coleman) adds language to Chapter 102 requiring not less than 25 percent of the CPRIT Fund 5136 go to prevention programs. This excludes CPRIT annual appropriation of \$300 million from general obligation bond proceeds. *HB4062 was referred to House Committee on Public Health. A committee hearing date has not been set.*

In addition, CPRIT and all other state agencies will be affected by the contracting reform legislation, Senate Bill 20, filed by Senator Nelson. Senate Bill 353 was the original legislative vehicle that Senator Nelson filed at the beginning of the legislative session to address contracting reform. Although the legislation has not been enacted, Governor Abbott directed all state agencies to begin complying with the proposed legislation by February 1.

2016-2017 Budget

The Senate Finance Committee released budget documents March 24 indicating that our request for “Unexpended Balance” carryforward from this biennium to the next was adopted. The House Committee Substitute was released the same day; as expected, the same rider permitting carryforward of unexpended balances between biennia was included. This was CPRIT’s one remaining formal request for changes to the appropriations bill. The rider allows us to fully use our bond funds and restores authority we had prior to the problems of 2012-13. Barring something unforeseen happening, this will NOT be an issue at budget conference and will be enacted. This is quite positive.

CPRIT originally requested another change to the budget that would remove the requirement to get LBB approval for all contracts in excess of \$100,000. After the initial budgets came out without its removal I was hesitant to push any more on the issue because 1) Senator Nelson

didn't want it removed, and 2) given the overall controversy concerning contracts this session I didn't think it wise to request a "loosening" of a contract provision. However, both the House and Senate bills raise the floor for LBB approval to \$250,000, which is positive. The bills as introduced do contain different language though. The Senate bill as introduced added a stipulation that a contract request will be considered approved after 30 business days from when the request is made unless a written disapproval is received from the LBB. It's my understanding that this is proposed as standard language for many agencies with contracting issues and is not unique to CPRIT. The House does not have such language. I will discuss these different provisions with budget conferees when budget conference begins.

CPRIT is requesting that the Legislature create the statutorily authorized interest and sinking fund in the Funds Consolidation Bill. The CPRIT Sinking Fund was established last session by SB149 as a General Revenue-Dedicated Account for deposits of revenue from patents, royalties, license fees, or other income received as a result of revenue sharing agreements in CPRIT grant awards. The revenue deposited in the account could be used only at the Legislature's discretion for debt service on bonds issued by Texas Public Finance Authority for CPRIT. However, because the account was not also created in the Funds Consolidation Bill passed that session, it was not created as a fund account in the State Treasury. Currently, all income received since June 4, 2013, is deposited in the General Revenue Fund, and is used for general governmental purposes.

CPRIT Outreach

- TMC Pulse Interview: Drs. Garcia, Goodman, and I were interviewed by Texas Medical Center's publication, *TMC Pulse*, in Houston on February 26 covering activities since November 2013 and the new program priorities. A feature article from the interviews is expected in April.
- Rare Disease Day: I was a keynote speaker for the Rare Disease Day rally on a very cold and rainy day on the south steps of the State Capitol on February 28. The short presentation covered CPRIT's interest in rare diseases, especially rare cancers, and our current work in rare cancers and the new priority adopted by the OC in November.
- American Cancer Society Cancer Action Network: I was the keynote speaker for a dinner held on March 3 for ACS volunteers in town for the Cancer Action Network Day at the Capitol.
- National Council of University Research Administrators (NCURA): Kristen Doyle and several members of the CPRIT compliance staff are invited presenters at the NCURA Texas Spring Conference on April 22. The presentation, "Working with CPRIT – Grant Contracts

and Grant Reporting,” will address new administrative rules and CPRIT reporting requirements.

Standing Subcommittee Meetings in May

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

- Board Governance – May 7 at 10:00
- Diversity – May 8 at 10:30
- Audit – May 11 at 10:00
- Prevention – May 12 at 10:00
- Academic Research – May 13 10:00
- Product Development – May 14 at 10:00
- Nominations – May 15 at 10:30

An agenda, call-in information and supporting material will be available 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 May, please contact Mary at mgerdes@cprit.state.tx.us.

CPRIT has awarded **870** grants totaling **\$1.255 billion**

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- 735 academic research and product development awards totaling \$1.133 billion

Of the \$1.133 billion in academic research and product development awards

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- 3 Research Recruitment
- 5 Scientific Research



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
PROGRAM PRIORITIES PROJECT REPORT**

Approved November 19, 2014

CONTENTS:

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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

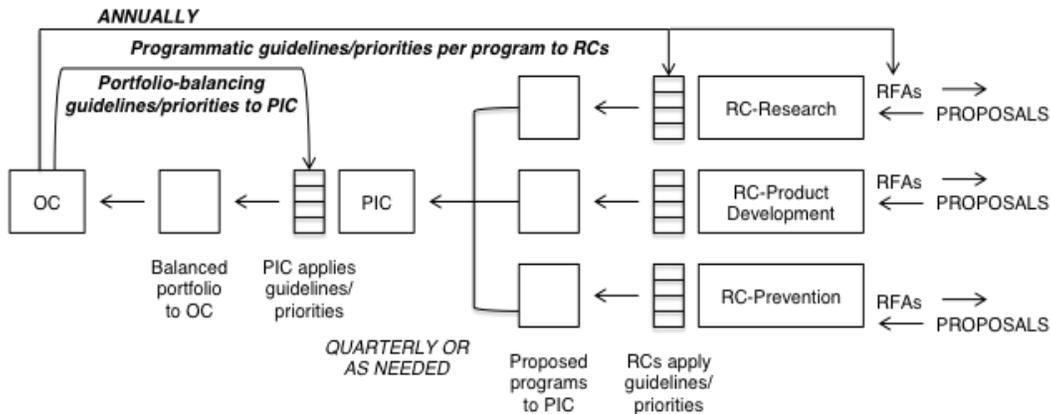
At the May 2014 meeting the Oversight Committee discussed the objectives and process for establishing the first annual program priorities. Between June and August, the Oversight Committee program subcommittees discussed guidelines and priorities. Each subcommittee developed draft program priorities for 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

Proposed Research Program Priorities

- A broad range of innovative, investigator-initiated research projects
- Prevention and early detection
- Computational biology and analytic methods
- Rare and intractable cancers, including childhood cancers
- Population disparities and cancers of importance in Texas
- Recruit outstanding cancer researchers to Texas



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

Proposed Prevention Program Priorities

- Prioritize populations and 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

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

Proposed 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.

	Prevention and Early Detection Initiatives	Early Translational Research	Enhance Texas’ Research Capacity and Life Science Infrastructure
Research Program Implementation	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.
Prevention Program Implementation	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.
Product Development Program Implementation	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
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: MARGARET KRIPKE, PH.D.
SUBJECT: FY15 RECRUITMENT AWARDS

Confidential

Information will be released on April 20, 2015.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

April 8, 2015

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding two recruitment grant applications totaling \$6,000,000. The PIC recommendations for the two recruitment awards are included with this letter.

Dr. Margaret Kripke, CPRIT's Chief Scientific Officer, prepared an overview of the recruitment recommendations to assist your evaluation of the proposed awards. The overview is intended to provide a comprehensive summary of the recommended proposals with enough detail that you should be able to understand the substance of the proposal and the reasons endorsing grant funding.

In addition to the comprehensive overview, all of the information reviewed by the Review Council is available by clicking on the appropriate link in the portal. This information includes the full application, peer reviewer critiques, and the CEO affidavit for each proposal.

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

The award recommendations will not be considered final until the Oversight Committee meeting on Monday, April 20, 2015. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

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

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Recruitment Grant Award Recommendations –

The PIC unanimously recommends approval of two academic research grant proposals totaling \$6,000,000. The recommended grant proposals were submitted in response to one of two grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty; and Recruitment of Rising Stars. The PIC followed the recommendations made by the Scientific Review Council (SRC). The SRC provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on March 26, 2015, with an updated recommendation provided on April 7 to address an inadvertent reverse ordering in the presentation of the two proposals.

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

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

Academic Research Recruitment Grant Award Recommendations

Rank	Application ID	Candidate	Organization	Amount	Mechanism	Overall Score
1	RR150050	Dr. Xiaochun Yu	The University of Texas Southwestern Medical Center	4,000,000	RRS	1.2
2	RR150039	Dr. Margarida Santos	The University of Texas M. D. Anderson Cancer Center	2,000,000	RFT	1.4

*RRS = Recruitment of Rising Star, RFT = Recruitment of First Time Tenure Track



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: KRISTEN DOYLE, INTERIM CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – RECRUITMENT AWARDS
DATE: APRIL 9, 2015

Summary and Recommendation:

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

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

I have conferred with staff at CPRIT and SRA International (SRA), CPRIT's contracted third-party grant administrator, regarding the recruitment awards and studied the supporting grant review documentation, including third-party observer reports for the peer review meetings. I am satisfied that the application review process that resulted in the Recruitment of First-Time, Tenure-Track Faculty Members grant and the Recruitment of Rising Stars grant recommended by the Program Integration Committee (PIC), followed applicable laws and agency administrative rules. I note that no recommendations for Established Investigator awards were submitted by the Scientific Review Council or considered by the PIC. I certify these two recruitment award recommendations for the Oversight Committee's consideration.

Background:

CPRIT's Chief Compliance Officer must report to the Oversight Committee regarding compliance with the statute and the agency's administrative rules. Among the Chief Compliance Officer's responsibilities is the obligation "to ensure that all grant proposals comply with this chapter and rules adopted under this chapter before the proposals are submitted to the oversight committee for approval." TEX HEALTH & SAFETY CODE §102.051(c) and (d).

CPRIT uses a compliance pedigree process to formally document compliance for the grant awards. The compliance pedigree tracks the grant application as it moves through the review process and documents

compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by SRA employees and CPRIT employees. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by SRA. This is done to minimize the opportunity for error caused by manual data entry.

Pre-Receipt Compliance:

The activities listed in pre-receipt stage cover the period beginning with CPRIT's issuance of the Request for Application (RFA) through the submission of grant applications. CPRIT's administrative rules require that RFAs be publicly posted in the *Texas Register*. The RFA specifies a deadline and mandates that only those applications submitted electronically through CARS are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from completing the application submission. When this occurs, the applicant may appeal to CPRIT (through the CPRIT Helpdesk that is managed by SRA) to allow for a submission after the deadline. The program officer considers any appeals and may approve a late filing for good cause. When a late filing request is approved, the appellee is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Seven recruitment grant applications were submitted by the deadline; however, one applicant withdrew the application before peer review began. I reviewed the application pedigrees for the six applicants that underwent peer review. All of the RFAs were posted in the Texas Register. All of the applicants registered through CARS and submitted applications by the deadline. No applicants requested an extension.

Receipt, Referral, and Assignment Compliance:

Once research applications have been submitted through CARS, SRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, SRA notifies the program officer and the program officer makes the final decision to administratively withdraw the application. Recruitment grant applications are assigned to the Scientific Review Council members for peer review. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

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

Peer Review:

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

For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the peer reviewer critiques and supporting documentation, such as the sign-out sheets and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application.

No conflict of interest was declared for any application reviewed by the SRC.

I also reviewed and confirmed that the post review conflict of interest statements were signed by the six SRC members that attended the SRC meeting on March 26, 2015.

Programmatic Review:

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

For the two recommendations before the Oversight Committee, I reviewed that the recommendations correspond to RFAs that have been released and that the pedigrees reflect the date of the SRC meeting and that the applications were recommended by the SRC. I note that according to the documentation I reviewed, the SRC recommended a third application for a recruitment grant award, but the application was withdrawn by the applicant on March 26.

I also reviewed the third party observer report for the SRC meeting. The third party observer report documents that the panel discussion was limited to the merits of the application and established evaluation criteria.

Program Integration Committee Review:

CPRIT rules require that, at the time 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 PIC containing relevant information related to the Grant Application recommendations. A review of the affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.

In this cycle, I reviewed the written notification submitted by Richard D. Kolodner, SRC Chair, to Wayne Roberts recommending two applications for grant awards. I compared the list of grant applications submitted to the Oversight Committee by Mr. Roberts with the list of applications the SRC recommended for awards and confirmed that the recommendations are the same on both lists. Dr. Kolodner did not include the third application that was recommended by the SRC, but subsequently withdrawn by the applicant (see above) in his letter to Mr. Roberts and Dr. Rice.

In a follow-up written notification submitted by Dr. Kolodner on April 7, 2015, Dr. Kolodner provided a revised list for the recruitment grant applications. The revision was to the table listing the rank-ordered applications, which had been inadvertently reversed when originally submitted on March 26, 2015.

Other Information Reviewed:

Third-Party Observer Reports - In May 2012, CPRIT implemented the use of an independent third-party observer at peer review meetings to ensure that panel discussions are limited to the merits of the application and adhere to established evaluation criteria. In addition, the third-party observer reports whether CPRIT staff attending the peer review meeting participates in the discussion, scoring or vote on the grant application. CPRIT staff may attend peer review meetings, but may not participate in the review process other than to answer technical questions. The third-party reviewer is the agency's internal auditor, Grant Thornton. I have reviewed the third-party observer report for the SRC meeting for this cycle. Nothing unusual was reported. The report is attached.

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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150050
APPLICATION TITLE Nomination of Dr. Xiaochun Yu for CPRIT Rising Stars Award
APPLICANT NAME Fitz, John G
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment Review Panel 5 (15.2_RRP-5)

Category	Compliance Requirement	Information	Attestation Date	Attesting Party
1. Pre-Receipt	RFA published in Texas Register	09/19/14	04/02/15	J. Boothe (SRA Project Manager)
	CPRIT Application Receipt Cycle opened	01/21/15	04/02/15	J. Boothe (SRA Project Manager)
	CPRIT Application Receipt Cycle closed	02/20/15	04/02/15	J. Boothe (SRA Project Manager)
	Date application submitted	02/18/15	04/02/15	J. Boothe (SRA Project Manager)
	Method of submission	CARS	04/02/15	J. Boothe (SRA Project Manager)
	Within receipt period	YES	04/02/15	J. Boothe (SRA Project Manager)
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/02/15	J. Boothe (SRA Project Manager)
	Donation(s) made to CPRIT/foundation	NO	04/02/15	J. Boothe (SRA Project Manager)
	Assigned to primary reviewers	03/06/15	04/02/15	J. Boothe (SRA Project Manager)
	Applicant notified of review panel assignment	N/A	04/02/15	J. Boothe (SRA Project Manager)
	Primary Reviewer 1 COI signed	02/27/15	04/02/15	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 COI signed	03/01/15	04/02/15	J. Boothe (SRA Project Manager)
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	03/24/15	04/02/15	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 critique submitted	03/25/15	04/02/15	J. Boothe (SRA Project Manager)
	COI indicated by non-primary reviewer	NONE	04/02/15	J. Boothe (SRA Project Manager)
	COI recused from participation	N/A	04/02/15	J. Boothe (SRA Project Manager)
	Discussed at Peer Review Meeting	YES	04/02/15	J. Boothe (SRA Project Manager)
	Peer Review Meeting	03/26/15	04/02/15	J. Boothe (SRA Project Manager)
	Post review statements signed	04/02/15	04/03/15	J. Boothe (SRA Project Manager)
	Third Party Observer Report	03/27/15	04/02/15	J. Boothe (SRA Project Manager)
	Score report delivered to CSO	04/02/15	04/02/15	J. Boothe (SRA Project Manager)
Recommended for SRC Review	YES	04/02/15	J. Boothe (SRA Project Manager)	
4. Final SRC Recommendation	COI indicated by SRC member	NONE	04/02/15	J. Boothe (SRA Project Manager)
	COI recused from participation	N/A	04/02/15	J. Boothe (SRA Project Manager)
	SRC Meeting	03/26/15	04/02/15	J. Boothe (SRA Project Manager)
	Third Party Observer Report	03/27/15	04/02/15	J. Boothe (SRA Project Manager)
	Recommended for grant award	YES	04/02/15	J. Boothe (SRA Project Manager)
	SRC Chair Notification to PIC and OC	04/02/15	04/03/15	J. Boothe (SRA Project Manager)
5. PIC Review	COI indicated by PIC member	NONE	04/08/15	C. Eckel (CPRIT Staff)
	COI recused from participation	N/A	04/08/15	C. Eckel (CPRIT Staff)
	PIC review meeting	04/08/15	04/08/15	C. Eckel (CPRIT Staff)
	Recommended for grant award	YES	04/08/15	C. Eckel (CPRIT Staff)
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE		
	COI indicated by Oversight Committee member	NAME or NONE		
	COI recused from participation	YES/NO or N/A		
	Donation(s) made to CPRIT/foundation	YES/NO		
	Presented to CPRIT Oversight Committee	DATE		
	Award approved by Oversight Committee	YES/NO		
	Authority to advance funds requested	YES/NO		
	Advance authority approved by Oversight Committee	YES/NO		

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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFT)
APPLICATION ID RR150039
APPLICATION TITLE Recruitment of First-time, Tenure-Track Faculty - Dr. Margarida Santos
APPLICANT NAME Dmitrovsky, Ethan
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment Review Panel 5 (15.2_RRP-5)

Category	Compliance Requirement	Information	Attestation Date	Attesting Party
1. Pre-Receipt	RFA published in Texas Register	09/19/14	04/02/15	J. Boothe (SRA Project Manager)
	CPRIT Application Receipt Cycle opened	01/21/15	04/02/15	J. Boothe (SRA Project Manager)
	CPRIT Application Receipt Cycle closed	02/20/15	04/02/15	J. Boothe (SRA Project Manager)
	Date application submitted	01/21/15	04/02/15	J. Boothe (SRA Project Manager)
	Method of submission	CARS	04/02/15	J. Boothe (SRA Project Manager)
	Within receipt period	YES	04/02/15	J. Boothe (SRA Project Manager)
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/02/15	J. Boothe (SRA Project Manager)
	Donation(s) made to CPRIT/foundation	NO	04/02/15	J. Boothe (SRA Project Manager)
	Assigned to primary reviewers	03/06/15	04/02/15	J. Boothe (SRA Project Manager)
	Applicant notified of review panel assignment	N/A	04/02/15	J. Boothe (SRA Project Manager)
	Primary Reviewer 1 COI signed	02/27/15	04/02/15	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 COI signed	03/03/15	04/02/15	J. Boothe (SRA Project Manager)
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	03/24/15	04/02/15	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 critique submitted	03/24/15	04/02/15	J. Boothe (SRA Project Manager)
	COI indicated by non-primary reviewer	NONE	04/02/15	J. Boothe (SRA Project Manager)
	COI recused from participation	N/A	04/02/15	J. Boothe (SRA Project Manager)
	Discussed at Peer Review Meeting	YES	04/02/15	J. Boothe (SRA Project Manager)
	Peer Review Meeting	03/26/15	04/02/15	J. Boothe (SRA Project Manager)
	Post review statements signed	04/02/15	04/03/15	J. Boothe (SRA Project Manager)
	Third Party Observer Report	03/27/15	04/02/15	J. Boothe (SRA Project Manager)
	Score report delivered to CSO	04/02/15	04/02/15	J. Boothe (SRA Project Manager)
Recommended for SRC Review	YES	04/02/15	J. Boothe (SRA Project Manager)	
4. Final SRC Recommendation	COI indicated by SRC member	NONE	04/02/15	J. Boothe (SRA Project Manager)
	COI recused from participation	N/A	04/02/15	J. Boothe (SRA Project Manager)
	SRC Meeting	03/26/15	04/02/15	J. Boothe (SRA Project Manager)
	Third Party Observer Report	03/27/15	04/02/15	J. Boothe (SRA Project Manager)
	Recommended for grant award	YES	04/02/15	J. Boothe (SRA Project Manager)
5. PIC Review	SRC Chair Notification to PIC and OC	04/02/15	04/03/15	J. Boothe (SRA Project Manager)
	COI indicated by PIC member	NONE	04/08/15	C. Eckel (CPRIT Staff)
	COI recused from participation	M. Kripke*	04/08/15	C. Eckel (CPRIT Staff)
	PIC review meeting	04/08/15	04/08/15	C. Eckel (CPRIT Staff)
6. Oversight Committee Approval	Recommended for grant award	YES	04/08/15	C. Eckel (CPRIT Staff)
	CEO Notification to Oversight Committee	DATE		
	COI indicated by Oversight Committee member	NAME or NONE		
	COI recused from participation	YES/NO or N/A		
	Donation(s) made to CPRIT/foundation	YES/NO		
	Presented to CPRIT Oversight Committee	DATE		
	Award approved by Oversight Committee	YES/NO		
	Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO			

*Dr. Margaret Kripke abstained from voting. Dr. Kripke has an approved COI waiver on file for FY 2015 regarding M.D. Anderson applications. The COI is waived; however, the terms of Dr. Kripke's FY2015 waiver require her to abstain from voting on M.D. Anderson applications.

**Conflicts of Interest for Academic Research Recruitment Cycle 15.2 Applications
(Academic Research Recruitment Cycle 15.2 Awards Announced at April 20, 2015,
Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 15.2 include *Recruitment of First-Time, Tenure-Track Faculty Members* and *Recruitment of Rising Stars*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT’s third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150039	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RR150050	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2015—Cycle 2
*Recruitment of First-Time, Tenure-Track Faculty
Members*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-15-RFT-2

Recruitment of First-Time Tenure-Track Faculty Members

**Please also refer to the Instructions for Applicants document, which will be
posted on September 2, 2014**

Application Receipt Dates:

September 2, 2014-Aug 31, 2015

Fiscal Year Award Period

September 1, 2014-August 31, 2015 (FY 2015)

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RFA VERSION HISTORY

Rev 9/2/14 RFA release

1. ABOUT CPRIT

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

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

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

2. RATIONALE

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

The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment.

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. This CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators **seeking their first tenure-track position**. CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be appropriate for a newly independent investigator and should foster the development of preliminary data that can be used to prepare applications for future independent research project grants to further both the investigator's research career and the CPRIT mission. The institution will be expected to work with each newly recruited research faculty member to design and execute a faculty career development plan consistent with his or her research emphasis. Relevance to cancer research is an important evaluation criterion for CPRIT funding.

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

4. FUNDING INFORMATION

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

year. Funds may not be carried over beyond 4 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Grant funds may not be used for salary support of this candidate or to construct or renovate laboratory space. Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support for the individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.
- Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary. Such individuals may, however, apply for other CPRIT grant awards, as appropriate.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The

candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.

- At the time of the application, the candidate **must not** hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non-tenure-track appointments at the rank of assistant professor are not eligible for this award. Examples of such appointments include Research Assistant Professor, Adjunct Research Assistant Professor, Assistant Professor (Non-Tenure Track), etc. The candidate may or may not reside in Texas at the time the application is submitted and may be nominated for a faculty position at the Texas institution where they are completing postdoctoral training.
- Successful candidates will be offered tenure-track academic positions at the rank of assistant professor.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date

of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

Applications will be accepted on a continuous basis and reviewed monthly. To manage the timely review of nominations for each evaluation period, the application submitted by the 20th day of each month will be reviewed by the 15th day of the following month. For the most immediate submission period, nominations will be accepted beginning at 7 AM central time on September 2, 2014, and must be submitted by 3 PM central time on September 20, 2014, to be reviewed by October 15, 2014. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

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

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (3 pages)

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

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

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

Summarize the key elements of the candidate’s research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Letters of Recommendation

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

7.2.11. Research Environment (1 page)

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

7.2.12. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

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

Applications approved by Council will be forwarded to the CPRIT Program Integration

Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

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

8.1.1. Confidentiality of Review

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

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

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

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals—an Oversight Committee member, a Program Integration Committee member, or a Scientific Review Council member. Applicants should note that the CPRIT Program Integration Committee comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional,

serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

8.2. Review Criteria

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

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

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

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

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

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

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

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

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

Dates of operation: September 2, 2014 onward (excluding public holidays)
Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time
Wednesday, 8 a.m. to 4 p.m. central time
Tel: 866-941-7146
E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491
E-mail: Help@CPRITGrants.org
Website: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Report #2015-223

Panel Name: FY15.2 Recruitment Review Panel (RRP-5 and RRP-6)

Panel Date: March 26, 2015

Report Date: March 27, 2015

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council's review of recruitment applications. The meeting was chaired by Richard Kolodner and held over the phone on March 26, 2015.

Panel Observation Objectives and Scope

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

- CPRIT's established procedures for members who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The panel's discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held telephonically. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on March 26, 2015.

The independent observer noted the following during our observation:

- Six recruitment applications were discussed and evaluated by the Scientific Review Council to determine which grants would receive CPRIT funding.
- Six council members, two CPRIT staff members, and two SRA employees were present for the Council meeting over the phone.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.

- No conflicts of interest were identified prior to or during the Council meeting.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

The independent observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

Noted Conflicts of Interest

There were no noted conflicts of interest from Scientific Review Council review of applications.

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycle 15.2 (continuous)

Application ID	Final Overall Score
RR150039*	1.4
B*	2.0

“B” was withdrawn by the applicant after the Scientific Review Council reviewed and recommended the application but before the Program Integration Committee meeting.

* Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

March 26, 2015

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

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Cancer Genetics
San Diego Branch

Head, Academic Affairs
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Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cpriti.state.tx.us

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its final list of research grant recommendations. The SRC met on Thursday, March 26th to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment for First-Time, Tenure Track Faculty Members and Recruitment of Rising Stars** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The SRC did not make changes to the funding amount, goals, timelines, or project objectives requested by the applicant. The SRC recommend one other candidate for the Recruitment for First-Time, Tenure Track Faculty Members mechanism, however, that candidate withdrew after the SRC meeting and is not being forwarded to the PIC and OC for consideration.

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

Sincerely,



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

Attachment

Rank	Application ID	Candidate	Organization	Amount	Mechanism	Overall Score
1	RR150050	Dr. Xiaochun Yu	The University of Texas Southwestern Medical Center	\$4,000,000	RRS	1.2
2	RR150039	Dr. Margarida Santos	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	RFT	1.4

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

RRS = Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2015—Cycle 2
Recruitment of Rising Stars

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-15-RRS-2

Recruitment of Rising Stars

**Please also refer to the Instructions for Applicants document, which will be
posted on September 2, 2014**

Application Receipt Dates:

September 2, 2014-August 31, 2015

Fiscal Year Award Period

September 1, 2014-August 31, 2015 (FY 2015)

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Rev 9/2/14 RFA release

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

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

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). Awards are intended to provide institutions with a competitive edge in recruiting the world’s best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment.

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. Having already demonstrated extraordinary accomplishments during their initial years of independent research, Rising Stars represent a

unique blend of scholastic aptitude, scientific rigor, and commitment to exploring transformational research through the development of creative ideas with high potential.

Candidates who have not historically worked in cancer research but are proposing creative hypotheses and research plans for this field are encouraged to apply. Similarly, candidates pursuing original and potentially high-impact basic science programs that have the potential to be translated toward clinical investigations or provide “proof of principle” are also encouraged to apply. It is expected that the candidate will contribute significantly to and have a major impact on the institution’s overall cancer research initiative. Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework.

Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates are expected to be approximately at the career level of a late assistant/early associate professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience vital metrics for guiding CPRIT’s investment in that person’s originality, insight, and potential for continued contribution.

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

4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee, as long as the total award does not exceed \$4,000,000. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried

over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space. Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support and endowment for the individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.
- Candidates who have already accepted a position at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary. Such individuals may, however, apply for other CPRIT grant awards, as appropriate.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The

candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.

- At the time of the application, the candidate should hold an appointment at the rank of assistant or associate professor tenure-track or tenured (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

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

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

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

Applications will be accepted on a continuous basis and reviewed monthly. To manage the timely review of nominations for each evaluation period, the application submitted by 20th day of each month will be reviewed by 15th day of the following month. For the most immediate submission period, nominations will be accepted beginning at 7 AM central time on September 2, 2014 and must be submitted by 3 PM central time on September 20, 2014 to be reviewed by October 15, 2014. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens.

Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (2 pages)

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

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

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

Endowment Equivalents: The principal of an endowment may not be included as part of the institutional match, but endowment income over the lifetime of the award may be included.

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

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

References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.

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

review. "I understand that I do not need to have made a commitment to <nominating

institution> before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate.”

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Research Environment (1 page)

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

7.2.11. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. 7.1. Review Process

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

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

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

8.1.1. Confidentiality of Review

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

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

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

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

8.2. Review Criteria

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

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

Questions to be considered by the reviewers are as follows:

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

recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in Chapter 701, Section 701.25.

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

www.cpriti.state.tx.us. Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Chapter 703, Sections 703.10, 703.12.

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

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

Dates of operation: September 2, 2014 onward (excluding public holidays)

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

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Report #2015-223

Panel Name: FY15.2 Recruitment Review Panel (RRP-5 and RRP-6)

Panel Date: March 26, 2015

Report Date: March 27, 2015

Background

As part of CPRIT's on-going emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the application and focused on the established evaluation criteria, CPRIT is implementing the use of a third-party observer at every in-person and telephone conference peer review meeting. CPRIT has authorized an independent party to function as a neutral third-party observer.

Introduction

The subject of this report is the Scientific Review Council's review of recruitment applications. The meeting was chaired by Richard Kolodner and held over the phone on March 26, 2015.

Panel Observation Objectives and Scope

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

- CPRIT's established procedures for members who have declared a conflict of interest are followed during the meeting (e.g., reviewers leave room or do not participate in the telephone conference if they have a conflict);
- CPRIT program staff participation is limited to offering general points of information when asked by peer review panel members;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications;
- The panel's discussion is focused on the established scoring criteria.

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held telephonically. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on March 26, 2015.

The independent observer noted the following during our observation:

- Six recruitment applications were discussed and evaluated by the Scientific Review Council to determine which grants would receive CPRIT funding.
- Six council members, two CPRIT staff members, and two SRA employees were present for the Council meeting over the phone.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.

- No conflicts of interest were identified prior to or during the Council meeting.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

The independent observer was not engaged to and did not conduct an examination or review, the objective of which would be the expression of an opinion or limited assurance on the accuracy of voting and scoring. Accordingly, we will not express such an opinion or limited assurance. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

Noted Conflicts of Interest

There were no noted conflicts of interest from Scientific Review Council review of applications.

De-Identified Overall Evaluation Scores

Recruitment of Rising Stars

Academic Research Recruitment Cycle 15.2 (continuous)

Application ID	Final Overall Score
RR150050*	1.2
A	4.0

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

March 26, 2015

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

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Cancer Genetics
San Diego Branch

Head, Academic Affairs
New York Office

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Via email to Bill.Rice@stdavids.com

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its final list of research grant recommendations. The SRC met on Thursday, March 26th to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment for First-Time, Tenure Track Faculty Members and Recruitment of Rising Stars** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The SRC did not make changes to the funding amount, goals, timelines, or project objectives requested by the applicant. The SRC recommend one other candidate for the Recruitment for First-Time, Tenure Track Faculty Members mechanism, however, that candidate withdrew after the SRC meeting and is not being forwarded to the PIC and OC for consideration.

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

Sincerely,



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

Attachment

Rank	Application ID	Candidate	Organization	Amount	Mechanism	Overall Score
1	RR150050	Dr. Xiaochun Yu	The University of Texas Southwestern Medical Center	\$4,000,000	RRS	1.2
2	RR150039	Dr. Margarida Santos	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	RFT	1.4

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

RRS = Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR150039
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Margarida Santos

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

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

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

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2015 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2015 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

On January 30, 2015, Dr. David Lakey stepped down as Commissioner of the Texas Department of State Health Services. Newly appointed Interim DSHS Commissioner Kirk Cole attended the PIC meeting; therefore, the PIC consisted of all statutorily required members.

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 9th day of April, 2015,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFT)
APPLICATION ID RR150039
APPLICATION TITLE Recruitment of First-time, Tenure-Track Faculty - Dr. Margarida Santos
APPLICANT NAME Dmitrovsky, Ethan
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME Recruitment Review Panel 5 (15.2_RRP-5)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	04/02/15
	CPRIT Application Receipt Cycle opened	01/21/15	04/02/15
	CPRIT Application Receipt Cycle closed	02/20/15	04/02/15
	Date application submitted	01/21/15	04/02/15
	Method of submission	CARS	04/02/15
	Within receipt period	YES	04/02/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/02/15
	Donation(s) made to CPRIT/foundation	NO	04/02/15
	Assigned to primary reviewers	03/06/15	04/02/15
	Applicant notified of review panel assignment	N/A	04/02/15
	Primary Reviewer 1 COI signed	02/27/15	04/02/15
	Primary Reviewer 2 COI signed	03/03/15	04/02/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	03/24/15	04/02/15
	Primary Reviewer 2 critique submitted	03/24/15	04/02/15
	COI indicated by non-primary reviewer	NONE	04/02/15
	COI recused from participation	N/A	04/02/15
	Discussed at Peer Review Meeting	YES	04/02/15
	Peer Review Meeting	03/26/15	04/02/15
	Post review statements signed	04/02/15	04/03/15
	Third Party Observer Report	03/27/15	04/02/15
	Score report delivered to CSO	04/02/15	04/02/15
Recommended for SRC Review	YES	04/02/15	
4. Final SRC Recommendation	COI indicated by SRC member	NONE	04/02/15
	COI recused from participation	N/A	04/02/15
	SRC Meeting	03/26/15	04/02/15
	Third Party Observer Report	03/27/15	04/02/15
	Recommended for grant award	YES	04/02/15
	SRC Chair Notification to PIC and OC	04/02/15	04/03/15
5. PIC Review	COI indicated by PIC member	NONE	04/08/15
	COI recused from participation	M. Kripke*	04/08/15
	PIC review meeting	04/08/15	04/08/15
	Recommended for grant award	YES	04/08/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

*Dr. Margaret Kripke abstained from voting. Dr. Kripke has an approved COI waiver on file for FY 2015 regarding M.D. Anderson applications.

The COI is waived; however, the terms of Dr. Kripke's FY2015 waiver require her to abstain from voting on M.D. Anderson applications.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR150050
Recruitment of Rising Stars
Nomination of Dr. Xiaochun Yu

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Dr. David Lakey, Department of State Health Services Commissioner, have conflict of interest waivers on file for FY2015 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2015 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

On January 30, 2015, Dr. David Lakey stepped down as Commissioner of the Texas Department of State Health Services. Newly appointed Interim DSHS Commissioner Kirk Cole attended the PIC meeting; therefore, the PIC consisted of all statutorily required members.

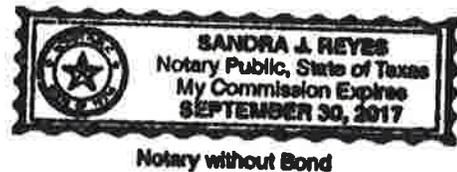
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 9th day of April, 2015,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150050
APPLICATION TITLE Nomination of Dr. Xiaochun Yu for CPRIT Rising Stars Award
APPLICANT NAME Fitz, John G
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment Review Panel 5 (15.2_RRP-5)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	04/02/15
	CPRIT Application Receipt Cycle opened	01/21/15	04/02/15
	CPRIT Application Receipt Cycle closed	02/20/15	04/02/15
	Date application submitted	02/18/15	04/02/15
	Method of submission	CARS	04/02/15
	Within receipt period	YES	04/02/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/02/15
	Donation(s) made to CPRIT/foundation	NO	04/02/15
	Assigned to primary reviewers	03/06/15	04/02/15
	Applicant notified of review panel assignment	N/A	04/02/15
	Primary Reviewer 1 COI signed	02/27/15	04/02/15
	Primary Reviewer 2 COI signed	03/01/15	04/02/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	03/24/15	04/02/15
	Primary Reviewer 2 critique submitted	03/25/15	04/02/15
	COI indicated by non-primary reviewer	NONE	04/02/15
	COI recused from participation	N/A	04/02/15
	Discussed at Peer Review Meeting	YES	04/02/15
	Peer Review Meeting	03/26/15	04/02/15
	Post review statements signed	04/02/15	04/03/15
	Third Party Observer Report	03/27/15	04/02/15
	Score report delivered to CSO	04/02/15	04/02/15
Recommended for SRC Review	YES	04/02/15	
4. Final SRC Recommendation	COI indicated by SRC member	NONE	04/02/15
	COI recused from participation	N/A	04/02/15
	SRC Meeting	03/26/15	04/02/15
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5. PIC Review	COI indicated by PIC member	NONE	04/08/15
	COI recused from participation	N/A	04/08/15
	PIC review meeting	04/08/15	04/08/15
	Recommended for grant award	YES	04/08/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER
Subject: AGENDA ITEM 6, GRANT AWARD FUNDING FOR FY 2015
Date: APRIL 8, 2015

SUMMARY

Agenda Item 6, Grant Award Funding for FY 2015, is a discussion concerning the status of funds available for grant awards during the remainder of state FY 2015 (through the August 19 Oversight Committee meeting). Based on information available at this time, recommendations from the program review councils to award grants may exceed grant funds available for the remainder of the year. In the event that the recommended awards exceed available grant funds, direction from the Oversight Committee should inform the Program Integration Committee (PIC) for its prioritization of competing awards consistent with Oversight Committee Program Priorities adopted last November.

DETAILS

Attached are five spreadsheets containing information for Oversight Committee use in assisting the PIC in prioritizing award recommendations for the remainder of FY 2015. The spreadsheets are described below.

FY 2015 Grant Award Funds Available

This document summarizes the current status of funds available for awards, presuming adoption of the two recruitment recommendations presented to the Oversight Committee on April 20.

- To date, \$160.9 million has been awarded for Academic Research and Product Development Research, leaving up to \$90.6 million for awards in May and August.
- Preliminary reports from the review panels indicate that up to \$64.2 million in Academic Research awards and \$36.0 million in Product Development Research awards may be recommended by the respective review councils for consideration at the May meeting.
- As a result, there may be \$9.6 million more in research recommendations than funds available in FY 2015.

- Other than recruitment grant proposals, there are no plans to present any grant recommendations at the August Oversight Committee meeting, which is the last meeting in FY 2015.
- In addition, there may be \$2.6 million more in Prevention recommendations than funds available to the Prevention program, assuming that the Oversight Committee plans to fund up to the 10% statutory limit.¹
- All three review councils are scheduled to meet by April 17 to finalize their recommendations for the May meeting. If the funding projections change, we will update you at the meeting on April 20.

Cumulative Funding by Mechanism and Financial Year (One Spreadsheet per Program)

These three spreadsheets indicate award amounts by year for each Request for Application Funding Mechanism for Prevention, Academic Research, and Product Development Research. To the extent that RFA titles changed over the years, CPRIT staff group together similar mechanisms.

Options for Addressing Recruitment Awards for Remainder of FY 2015

As discussed above, both research programs expect to recommend grants at the May meeting that will fully consume the remaining funding for awards in FY 2015. This creates a potential issue for recruitment awards that would normally be awarded at the August Oversight Committee meeting (the last in FY 2015.) The attached spreadsheet lists options for addressing how to handle the recruitment awards for the remainder of FY 2015 as well as pros and cons for each option.

DIRECTION NEEDED

Items to consider in the Oversight Committee discussion include:

- Guidance to the PIC concerning allocation of remaining research funds between Academic Research and Product Development as well as between each funding mechanism within the two programs.
- Interest in funding less than the 10% cap for prevention awards and making those funds to available for research grants.
- Guidance related to recruitment grant award options.

¹ This is after allowing for a probable transfer of nearly \$1.1 million from the Prevention program to the Research programs due to an “over appropriation” to prevention in the general appropriations act. State law restricts awards to prevention to no more than 10% of award funds during any year. CPRIT staff will request authority from the Legislative Budget Board to transfer this \$1.1 million to the research programs.

FY 2015 GRANT AWARD FUNDS AVAILABLE

General Obligation Bond Proceeds

	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		1,992,851		1,992,851
Approved Adjustments to Operating Costs		(9,160,324)	9,160,324	
Unapproved Adjustments to Operating Costs		(536,000)	536,000	
Appropriations Transfer to DSHS		(2,969,554)	2,969,554	
Adjusted Appropriations	\$ 29,006,567	\$ 250,386,078	\$ 22,600,206	\$ 301,992,851
Adjustment for 10% Prevention Awards Limit	(1,067,303)	\$ 1,067,303		
Final Adjusted Appropriations	\$ 27,939,265	\$ 251,453,381	\$ 22,600,206	\$ 301,992,851

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

\$ 279,392,645

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		\$ 57,000,000
2/18/15 Rsch Recruitment Awards		\$ 6,000,000

Grant Awards Subtotal	\$ 7,271,233	\$ 168,856,975	\$ 176,128,208
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)
Revised Grant Award Subtotal	\$ 7,271,233	\$ 154,856,975	\$ 162,128,208
Rsch Recruitment Pending Approval 4/20		\$ 6,000,000	
Pending Award Subtotal	\$ -	\$ 6,000,000	\$ 6,000,000
Total Committed to Date	\$ 7,271,233	\$ 160,856,975	\$ 168,128,208

Available Funds as of March 23, 2015	\$ 20,668,032	\$ 90,596,406	\$ 111,264,437
PD Awards Pending Approval 5/20	\$ -	\$ 36,000,000	
Research Awards Pending Approval 5/20		\$ 50,160,184	
Rsch Recruitment Pending Approval 5/20		\$ 14,000,000	
Prevention Awards Pending Approval 5/20	\$ 23,242,936		
Pending Award Subtotal	\$ 23,242,936	\$ 100,160,184	\$ 123,403,120
Total Potential Available as of May	\$ (2,574,905)	\$ (9,563,779)	\$ (12,138,683)

Operating Budget Detail

Indirect Administration	\$ 3,365,411
Grant Review & Award Operations	\$ 15,729,241
Subtotal, CPRIT Operating Costs	\$ 19,094,652
Cancer Registry Operating Cost Transfer	\$ 2,969,554
Total, Operating Costs	22,064,206

Cumulative Prevention Funding by Mechanism and Financial Year														
April 7, 2015														
(Dollars in Millions)														
Mechanism	FY10		FY11		FY12 ¹		FY13		FY14		FY15		Mechanism Totals	
	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount
Cancer Prevention Microgrants	-	\$ -	5	\$ 0.9	-	\$ -	-	\$ -	-	\$ -	-	\$ -	5	\$ 0.9
Community Collaborative Prevention Programs and Services	4	\$ 6.7	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	4	\$ 6.7
Competitive Continuation/Expansion - Education	-	\$ -	-	\$ -	-	\$ -	-	\$ -	2	\$ 0.3	-	\$ -	2	\$ 0.3
Competitive Continuation/Expansion - Evidence-Based Services Education	-	\$ -	-	\$ -	-	\$ -	-	\$ -	7	\$ 9.5	1	\$ 1.5	8	\$ 11.0
Evidence-Based Cancer Prevention Services	20	\$ 6.1	20	\$ 7.7	5	\$ 1.7	-	\$ -	2	\$ 0.6	-	\$ -	47	\$ 16.1
Innovation Awards for Cancer Prevention Programs and Services	6	\$ 5.1	10	\$ 13.2	21	\$ 40.8	-	\$ -	14	\$ 17.9	4	\$ 5.8	55	\$ 82.7
Legacy Grant	1	\$ 0.1	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	1	\$ 0.1
Award Totals:	44	\$ 21.7	35	\$ 21.8	26	\$ 42.5	-	\$ -	25	\$ 28.3	5	\$ 7.3	135	\$ 121.6

¹ 14 Grants Approved on 8/2/2012:

- 2 Grants (\$2.6) funded from FY12 Funds
- 12 Grants (\$13.6) funded from FY13 Funds

Cumulative Academic Research Funding by Mechanism and Financial Year

April 7, 2015

(Dollars in Millions)

Mechanism	FY10		FY11		FY12		FY13		FY14		FY15 ¹		Mechanism Totals	
	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount
Bridging the Gap: Early Translational Research Awards	-	\$ -	-	\$ -	9	\$ 8.3	-	\$ -	-	\$ -	20	\$ 33.9	29	\$ 42.1
Core Facility Support Awards	-	\$ -	-	\$ -	8	\$ 25.5	3	\$ 11.7	-	\$ -	-	\$ -	11	\$ 37.3
High Impact/High Risk	14	\$ 2.8	12	\$ 2.4	12	\$ 2.4	14	\$ 2.8	15	\$ 3.0	-	\$ -	67	\$ 13.3
Individual Investigator	60	\$ 65.8	43	\$ 37.5	44	\$ 43.6	44	\$ 42.8	60	\$ 50.4	36	\$ 32.0	287	\$ 272.0
Individual Investigator Research Awards for Cancer in Children and Adolescents	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	10	\$ 18.0	10	\$ 18.0
Individual Investigator Research Awards for Prevention and Early Detection	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	5	\$ 6.9	5	\$ 6.9
Multi-Investigator	59	\$ 56.5	66	\$ 86.9	41	\$ 39.4	-	\$ -	26	\$ 11.1	-	\$ -	192	\$ 194.0
Research Training	7	\$ 17.7	-	\$ -	-	\$ -	-	\$ -	7	\$ 11.8	-	\$ -	14	\$ 29.5
Shared Instrumentation Awards	-	\$ -	5	\$ 9.5	3	\$ 3.0	-	\$ -	-	\$ -	-	\$ -	8	\$ 12.4
Non-Recruitment Award Totals:	140	\$ 142.8	126	\$ 136.2	117	\$ 122.2	61	\$ 57.3	108	\$ 76.3	71	\$ 90.8	623	\$ 625.5
Recruitment of Established Investigators	1	\$ -	5	\$ 35.0	6	\$ 36.5	2	\$ 7.2	3	\$ 18.0	1	\$ 6.0	18	\$ 102.7
Recruitment of First-Time, Tenure-Track Faculty Members	6	\$ 12.0	10	\$ 20.0	15	\$ 28.8	2	\$ 4.0	16	\$ 31.8	5	\$ 10.0	54	\$ 106.6
Recruitment of Missing Links	-	\$ -	3	\$ 5.9	-	\$ -	-	\$ -	-	\$ -	-	\$ -	3	\$ 5.9
Recruitment of Rising Stars	2	\$ 8.0	1	\$ 2.0	1	\$ 4.5	2	\$ 5.2	2	\$ 6.5	2	\$ 8.0	10	\$ 34.3
Recruitment Award Totals:	9	\$ 20.0	19	\$ 62.9	22	\$ 69.8	6	\$ 16.4	21	\$ 56.3	8	\$ 24.0	85	\$ 249.5
Award Totals:	149	\$ 162.8	145	\$ 199.1	139	\$ 192.0	67	\$ 73.8	129	\$ 132.6	79	\$ 114.8	708	\$ 875.0

¹ FY15 Bridging the Gap: Early Translational Research Awards were reviewed under the Product Development program.

Cumulative Product Development Research Funding by Mechanism and Financial Year
April 7, 2015
(Dollars in Millions)

Mechanism	FY10		FY11		FY12		FY13		FY14		FY15		Mechanism Totals	
	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount	No.	Amount
Company Recruitment	1	\$ 11.0	-	\$ -	-	\$ -	-	\$ -	-	\$ -	-	\$ -	1	\$ 11.0
Company Relocation	-	\$ -	-	\$ -	1	\$ 15.6	-	\$ -	1	\$ 12.0	-	\$ -	2	\$ 27.6
Established Company	5	\$ 20.7	1	\$ 5.7	3	\$ 30.2	-	\$ -	3	\$ 55.8	-	\$ -	12	\$ 112.4
New Company	-	\$ -	-	\$ -	2	\$ 15.0	-	\$ -	4	\$ 35.5	4	\$ 48.5	10	\$ 99.0
Award Totals:	6	\$ 31.7	1	\$ 5.7	6	\$ 60.8	-	\$ -	8	\$ 103.3	4	\$ 48.5	25	\$ 250.0

Options for Addressing Recruitment Awards for Remainder of FY2015

Option	Recruitment RFA	Pending Non-Recruitment Grant Recommendations
1	Close until September 1	Action at May meeting as scheduled
2	Open, with applications approved at special September Oversight Committee meeting	Action at May meeting as scheduled
3	Open, with applications approved at August 19 Oversight Committee meeting	Action at May meeting as scheduled; PIC or Oversight Committee disapproves some academic research, product development research, and/or prevention grant recommendations in order to reserve some amount of funding for recruitment grants in August*
4	Open, with applications approved at August 19 Oversight Committee meeting	Action at May meeting as scheduled; PIC or Oversight Committee defers some recommendations until August meeting when they will compete against recruitment recommendations for funding
5	Open, with applications approved at August 19 Oversight Committee meeting	Action at August meeting on all pending grant recommendations with the exception of pending recruitment grants; action on recruitment grants only at May and August meetings

* If the PIC will be responsible for culling May recommendations, then Oversight Committee should provide guidance at the April Oversight Committee meeting regarding the amount to be set aside.

Pros/Cons for Recruitment Funding Options

Option	Pros	Cons
1	<ul style="list-style-type: none"> • Does not displace already recommended applications for applications not yet submitted* • Consistent with statute, administrative rules, established process 	<ul style="list-style-type: none"> • Closes a well-regarded, priority RFA during the busy summer recruitment season
2	<ul style="list-style-type: none"> • Keeps open a well-regarded, priority RFA during the busy summer recruitment season • Does not displace already recommended applications for applications not yet submitted* • Since awards would be made out of FY2016 money, there is no need to guesstimate how much money to set aside for recruits to approved in August and no possibility of negative consequences if that guess is wrong (e.g. that Review Council/PIC/OC must reject a qualified recruitment application because the set-aside guess was too low or rejects an otherwise qualified non-recruitment grant recommendation because the set-aside guess was too high) • Consistent with statute, administrative rules, established process 	<ul style="list-style-type: none"> • Delays Oversight Committee decision by 2-3 weeks (from August 19 to early September), which may be a critical time period in securing recruit • Requires scheduling a special Oversight Committee meeting for September
3	<ul style="list-style-type: none"> • Keeps open a well-regarded, priority RFA during the busy summer recruitment season • Consistent with statute, administrative rules, established process 	<ul style="list-style-type: none"> • Displaces already recommended applications for applications not yet submitted • Requires guesstimate on how much money to set aside for recruits to approved in August with potential negative consequences if that guess is wrong (e.g. that Review Council/PIC/OC must reject a qualified recruitment application in August because the set-aside guess was too low or reject an otherwise qualified non-recruitment grant recommendation in May because the set-aside guess turns out to be too high)

Option	Pros	Cons
4	<ul style="list-style-type: none"> Keeps open a well-regarded, priority RFA during the busy summer recruitment season 	<ul style="list-style-type: none"> Not consistent with our process, deferring some grants may violate administrative rule and/or statute (at least requires reading words into the statute that are not there) Creates uncertainty for grantees Creates opportunity for grantees that have been deferred to lobby legislators, Oversight Committee members, etc. for approval; this is inconsistent with our goal of minimizing potential conflicts of interest in the award process
5	<ul style="list-style-type: none"> Keeps open a well-regarded, priority RFA during the busy summer recruitment season If there are not enough funds for all awards, then PIC/OC will have the greatest amount of information and options to decide which applications to not fund because there is no bifurcation in consideration between meetings No need to guesstimate how much money to set aside for recruits to approved in August and no possibility of negative consequences if that guess is wrong (e.g. that Review Council/PIC/OC must reject a qualified recruitment application in August because the set-aside guess was too low or reject a non-recruitment grant recommendation in May because the set-aside guess turns out to be too high) 	<ul style="list-style-type: none"> Any award made in August will have the one-day (“5th quarter”) reporting period problem Adds additional three months to timeline for applications originally scheduled to be announced in May

*Given current budget projections, it is likely that some of the applications that have been recommended (or will soon be recommended) to the PIC may not get funded or will have their requested budgets cut even if funding for recruitment grant awards is put off until FY2016.

Questions to Consider:

1. What can be done to avoid this problem in future years?
2. Should the recruitment grants be considered the number one program priority?
3. CPRIT generally allows one resubmission per application. Should a rejection for lack of money not count against the applicant’s one-resubmission?



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
Through: WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER
From: CAMERON ECKEL, STAFF ATTORNEY
KRISTEN DOYLE, GENERAL COUNSEL
Subject: RECOMMENDATION TO DISBURSE ACCRUED CANCER
LICENSE PLATE REVENUE
Date: APRIL 10, 2015

Summary and Recommendation

Revenue from the sale of “Texans Conquer Cancer” and “A Fine Cause” license plates accrues in the License Plate Trust Fund Account and is appropriated to the Cancer Prevention and Research Institute of Texas (CPRIT). Prior to 2010, revenue was disbursed by the Texas Cancer Council, CPRIT’s predecessor agency, under a process set forth by the Texas Administrative Code. The Texas Cancer Council was abolished with the creation of CPRIT; however, the cancer license plates continue to generate revenue. Approximately \$31,000 in current license plate funds is available to be spent by August 31, 2015. CPRIT staff recommends that the Oversight Committee approve the proposed process to reimburse certain expenses submitted by current prevention grantees using the accrued funds. The license plate revenue will supplant grant funds generated by the sale of general obligation bonds. The proposed process for use of license plate revenues will not impact grantees.

Background

State law requires the Texas Department of Transportation (TxDOT) to design and issue “Texans Conquer Cancer” and “A Fine Cause” license plates (collectively referred to as “the cancer license plates”). Tex. Transp. Code Ann. § 504.620. A portion of the sales revenue that is deposited is available for cancer prevention services. Originally, funds were deposited into the Texans Conquer Cancer account and disbursed by the Texas Cancer Council.¹ House Bill 14 during the 80th Legislative Session in 2007 created CPRIT and amended Transportation Code

¹ Act of June 2, 2003, 78th Leg., R.S., ch. 1320, 2003 Tex. Gen. Laws 4865 (amended 2007) (current version at Tex. Transp. Code Ann. § 504.620).

§ 504.620 to credit revenue from cancer license plates to the cancer prevention and research fund. Tex. Transp. Code Ann. § 504.620.

Under the Texas Cancer Council, Texas Administrative Code Chapter 704 established the Texans Conquer Cancer Advisory Committee (TCCAC) to assist the Council in disbursing revenues from the sale of license plates.² Specifically, TCCAC helped to establish guidelines for spending money from cancer license plate sales, as well as evaluate who should receive funds from this account.

Texas Administrative Code Chapter 704 outlined the procedure and requirements for awarding funds from cancer license plate sales. After a Request for Application was published in the *Texas Register*, the TCCAC reviewed applications and made recommendations, which were ultimately approved by the full Council for a final funding decision.³ The Council could only make grants to non-profit organizations that provided support services for cancer patients and their families and to defray the cost of administering the Texans Conquer Cancer Account.⁴ Funds could not be spent on expenses associated with cancer treatment such as hospitalization, chemotherapy, and health insurance deductibles.⁵ Any payment from license plate sales was required to be on a reimbursement basis.

Although House Bill 14 abolished the TCCAC, CPRIT used the Chapter 704 process to distribute cancer license plate funds through FY2011. No cancer license plate funds have been distributed since FY 2011. Chapter 704 was repealed in January 2014 as part of CPRIT's ongoing rulemaking project to reflect changes to its administrative rules required SB 149 and the state audit findings.

Use of Accrued and Future Funds

Funds from the sale of the cancer license plates are allocated between Texas Department of Transportation and CPRIT. The license plate costs \$30, without personalization. TxDOT receives \$8 for each sale to be credited towards administrative costs and \$22 is placed in the License Plate Trust Fund.

² 25 Tex. Admin. Code §§ 704.1-.13 (2003) (Tex. Cancer Council, Texans Conquer Cancer Program) *repealed* 39 Tex. Reg. 1393 (2014) (proposed November 15, 2013).

³ 25 Tex. Admin. Code § 704.7 (Tex. Cancer Council, Guidelines for Awarding Support Services Funds) *repealed* 39 Tex. Reg. 1393 (2014) (proposed November 15, 2013).

⁴ 25 Tex. Admin. Code § 704.3 (Tex. Cancer Council, Texans Conquer Cancer Account) *repealed* 39 Tex. Reg. 1393 (2014) (proposed November 15, 2013).

⁵ 25 Tex. Admin. Code § 704.7 (Tex. Cancer Council, Guidelines for Awarding Support Services Funds) *repealed* 39 Tex. Reg. 1393 (2014) (proposed November 15, 2013).

Since the repeal of Texas Administrative Code Chapter 704, cancer license plate sale receipts continued to accrue to the License Plate Trust Fund. Approximately \$31,000 in accrued cancer license plate revenue is available to be expended by August 31, 2015.

License plate funds originally reimbursed support services. Consistent with this precedent, staff proposes that current revenue be spent to reimburse various services provided by prevention grantees including, but not limited to, transportation assistance, insurance co-payments, childcare assistance, patient incentives, colonoscopy prep kits, and survivorship services. Any future revenue from license plates will be used in the same manner. On average, approximately \$15,000 per fiscal year will be available to CPRIT to expend.

Proposed Procedure

To disburse license plate revenue in the cancer prevention and research fund to CPRIT prevention grantees:

1. Each fiscal year, CPRIT Prevention Program staff will prepare a list of prevention grantees and eligible services for reimbursement from license plate funds and provide the list to CPRIT grant accountants.
2. The grant accountants will identify eligible expenses on Financial Status Reports (FSR) that may be reimbursed from license plate revenue.
3. Grant accountants will complete the internal License Plate Funds form (to be created by CPRIT), run a separate tape of the expenses, copy all supporting documentation, and submit everything to the agency accountant.
4. The agency accountant will review the request and create a payment voucher and make an entry in the payment log that includes the grant ID, organization name, dollar amount expended, and date of the transaction.
5. The agency accountant will file the logs and all other documentation after payment has been processed.

The license plate revenue will supplant grant funds generated by the sale of general obligation bonds. The proposed process for use of license plate revenues will not impact grantees.

Recommendation

CPRIT staff recommends that the Oversight Committee approve the process set forth in this memo to distribute accrued funds in the cancer prevention and research fund to current prevention grantees. Oversight Committee approval is recommended to be consistent with previous practice and because carrying out this process requires disbursement of money in the License Plate Trust Fund.



ORDER

Name:	A Fine Cause
Plate Fee:	\$30
Funds Recipient:	\$22 of the plate fee goes to Cancer Prevention and Research Institute of Texas
Dedicated Revenue Supports:	To raise awareness of cancer of unknown primary origin.
Number Currently Registered:	256
Available Since:	2011
Type:	TxDMV-Charity



ORDER

Name:	Texans Conquer Cancer
Plate Fee:	\$30
Funds Recipient:	\$22 of the plate fee goes to Cancer Prevention and Research Institute of TX
Dedicated Revenue Supports:	Grants for support services to cancer patients.
Number Currently Registered:	373
Available Since:	2001
Type:	TxDMV-Charity



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
Subject: SECTION 102.1062 WAIVER – KIRK COLE
Date: APRIL 9, 2015

Waiver Request and Recommendation:

I request that the Oversight Committee approve a conflict of interest waiver for Program Integration Committee (PIC) member DSHS Interim Commissioner Kirk Cole, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” 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) following the departure of Dr. David Lakey, who announced his resignation in early January.

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 Oversight Committee previously approved a conflict of interest waiver for Dr. Lakey for FY 2014 and FY 2015.

Commissioner Cole has the same conflict of interest, which necessitates approval a conflict of interest waiver for FY 2015. The recommendations and limitations in Commissioner Cole's waiver remain the same as previously approved by the Oversight Committee for Dr. Lakey.

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.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE
From: HEIDI MCCONNELL, CHIEF OPERATING OFFICER
Subject: SEARCH FIRM SERVICES PROCUREMENT
Date: APRIL 9, 2015

Recommendation

CPRIT staff recommends awarding a contract for \$125,000 to Spencer Stuart to assist the agency with conducting a national search for a candidate to fill the Chief Scientific Officer (CSO) position being vacated by Dr. Margaret Kripke.

Background

CPRIT received two proposals in response to a request for proposal (RFP) open for competitive bids from March 13, 2015, through April 2, 2015. CPRIT staff evaluated the proposals submitted and concluded that Spencer Stuart was best qualified to assist the agency with a search for the caliber of candidate required to fulfill this position.

Spencer Stuart is a national search firm with extensive experience conducting executive searches for life sciences executives, including medical officers and scientific officers, at major academic institutions, healthcare organizations, and research institutes. The firm is based in Atlanta, Georgia with offices around the United States including one in Houston, Texas. In this search, Spencer Stuart identified a team of two to work with CPRIT. The leader of the Spencer Stuart team is based in Houston and the other member of the team who works in the firm's Life Sciences Practice is based in San Francisco, California.

CPRIT will engage Spencer Stuart to assist with identifying and reaching out to qualified candidates for the CSO position, evaluating submitted applications and resumes, preparing comprehensive candidate profiles for the Chief Executive Officer, and coordinating with CPRIT Human Resources to arrange interviews and develop interview questions. Spencer Stuart is not being engaged as a consultant because they will not advise the Chief Executive Officer on the choice of a CSO. The scope of work in the RFP makes no reference to providing advice, and the RFP includes a statement that the "solicitation is not intended to be for consulting services subject to Texas Government Code Chapter 2254."

Given the amount of this contract, CPRIT must request approval from the Legislative Budget Board.

FY 2015 GRANT AWARD FUNDS AVAILABLE
General Obligation Bond Proceeds

TAB 6a - Updated

	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		1,992,851		1,992,851
Approved Adjustments to Operating Costs		(9,160,324)	9,160,324	
Unapproved Adjustments to Operating Costs		(536,000)	536,000	
Appropriations Transfer to DSHS		(2,969,554)	2,969,554	
Adjusted Appropriations	\$ 29,006,567	\$ 250,386,078	\$ 22,600,206	\$ 301,992,851
Adjustment for 10% Prevention Awards Limit	(1,067,302)	\$ 1,067,302		
Final Adjusted Appropriations	\$ 27,939,265	\$ 251,453,380	\$ 22,600,206	\$ 301,992,851

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

\$ 279,392,645

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		\$ 57,000,000
2/18/15 Rsch Recruitment Awards		\$ 6,000,000

Grant Awards Subtotal	\$ 7,271,233	\$ 168,856,975	\$ 176,128,208
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)
Revised Grant Award Subtotal	\$ 7,271,233	\$ 154,856,975	\$ 162,128,208
Rsch Recruitment Pending Approval 4/20		\$ 6,000,000	
Pending Award Subtotal	\$ -	\$ 6,000,000	\$ 6,000,000
Total Committed to Date	\$ 7,271,233	\$ 160,856,975	\$ 168,128,208

Available Funds as of March 23, 2015	\$ 20,668,032	\$ 90,596,405	\$ 111,264,437
PD Awards Pending Approval 5/20	\$ -	\$ 13,700,000	
Research Awards Pending Approval 5/20		\$ 50,066,421	
Rsch Recruitment Pending Approval 5/20		\$ 14,000,000	
Prevention Awards Pending Approval 5/20	\$ 20,668,032		
Pending Award Subtotal	\$ 20,668,032	\$ 77,766,421	\$ 98,434,453
Total Potential Available as of May	\$ -	\$ 12,829,984	\$ 12,829,984

Operating Budget Detail

Indirect Administration	\$ 3,365,411
Grant Review & Award Operations	\$ 15,729,241
Subtotal, CPRIT Operating Costs	\$ 19,094,652
Cancer Registry Operating Cost Transfer	\$ 2,969,554
Total, Operating Costs	22,064,206