



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

# **INSTRUCTIONS FOR APPLICANTS**

## **Established Company Product Development Awards**

**RFA C-15-ESTCO-2**

## **New Company Product Development Awards**

**RFA C-15-NEWCO-2**

## **Company Relocation Product Development Awards**

**RFA C-15-RELCO-2**

**FY 2015**

Fiscal Year Award Period

September 1, 2014-August 31, 2015

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## **VERSION HISTORY**

Rev 01/05/15 Release of Instructions for Applicants

Rev 01/07/15 Added section 14.11 (page 18)

## 1. INTRODUCTION

The Cancer Prevention and Research Institute of Texas (CPRIT) Application Receipt System (CARS) provides a means for the product development community (ie, applicants and Application/Authorized Signing Officials [ASOs]) to respond to CPRIT funding opportunities electronically over the Internet through a secure connection. This document provides instructions and guidance to applicants on how to successfully submit an application in response to CPRIT's Requests for Applications (RFAs) for FY15 Cycle 4. Applications may be submitted from January 5, 2015, through February 9, 2015.

## 2. SUMMARY INSTRUCTIONS

- **Technical Support:** Applicants are strongly advised to carefully read this document in its entirety before starting an application. The CPRIT HelpDesk ([section 19.1](#)) is available to answer technical questions and guide applicants with application submission. This *Instructions* document will be updated as necessary. Revisions will be listed in the *Revision History*.
- **User Accounts:** The applicant and an ASO (a person authorized to sign for the organization) will each need to create user accounts in CARS. These are 2 different roles, and an account for each is required in order for an application to be submitted. If your company is not listed in the dropdown menu, please call or e-mail the HelpDesk (contact information in [section 19.1](#)) and provide your company name; this information will update in the system within 24 hours. The same person may serve as both the applicant and the ASO; however, a separate account (with a separate user name and password) must be set up for each role. An application cannot be submitted without ASO approval.
- **Document Format for Uploaded Files:** Use Portable Document Format (PDF) only.
  - Do NOT password protect documents.
  - Do NOT submit documents that are bound together in a single PDF package.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Page Format:** Single spacing, 0.75-inch margins in all directions.

- **Templates:** The application template named “Product Development Programs: Biographical Sketches,” located in the *My Applications: Summary* tab or in the Current Funding Opportunities section must be used.
- **Submission Process:**
  - The applicant completes all sections (except Tab 6). The system then automatically sends an e-mail forwarding the application to the ASO for review and final submission to CPRIT.
  - The application must be submitted using the ASO account on or before February 9, 2015, 3 PM, central time.
  - **Note:** CARS will be unavailable the third Thursday of each month between 7 PM and 9 PM central time for routine system maintenance.
- **Tab Finalization and Reset:**
  - Application information saved as “draft” can be edited at a later time. Once application information is “finalized for ASO approval,” it can be edited only after an ASO has reset the section to draft mode at the request of the applicant.

### **3. APPLICATION SUBMISSION DEADLINE**

The application must be submitted on or before February 9, 2015, 3 PM central time.

### **4. APPLICATION PREPARATION AND SUBMISSION PROCESS**

- The applicant completes/finalizes a series of numbered tabs of the application.
- Finalized tabs can be reset by the ASO.
- Once all tabs are finalized, the ASO reviews, approves, and submits the application to CPRIT.

### **5. APPLICATION/AUTHORIZED SIGNING OFFICIAL (ASO)**

The ASO is an individual authorized to submit an application on behalf of an organization. An ASO is required and must be identified by the applicant. The ASO role may also be filled by the applicant using a separate account.

As the organization's representative, the ASO is required to review the tabs finalized by the applicant and submit the application. Only the ASO is authorized to officially submit the application to CPRIT. The ASO can reset applicant-finalized tabs to draft mode at the request of the applicant.

## 6. GRANTS CONTRACT/OFFICE OF SPONSORED PROJECTS OFFICIAL

The Grants Contract/Office of Sponsored Projects Official is the individual who will manage the grant contract if an award is made. This role may be filled by an individual also serving as the applicant and/or the ASO or by a separate individual. The applicant assigns this individual to this role.

## 7. USER REGISTRATION

Applicants begin the application process by registering or logging into CARS at <https://cpritgrants.org>. New applicants should remember to set up both an applicant account and an ASO account at this time. Upon successful login to the system, the applicant will be presented with the *My Applications* page screen shown below:

The screenshot displays the 'My Applications' page of the CPRIT Application Receipt System. The page header includes the CPRIT logo and the text 'CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS Application Receipt System'. A navigation menu at the top contains links for 'My Profile', 'My Applications', 'My Grants', 'Manage Organization Agreements', 'Current Funding Opportunities', 'Feedback', 'Review Grants', and 'HelpDe'. Below this is a secondary menu with 'Administrati', 'Application List', 'Start New Application', and 'Reporting'. The main content area is titled 'My Applications' and includes a 'Filter Application List' section with dropdown menus for 'Show All Applications' and 'Show All My Roles', radio buttons for 'Since FY' (selected) and 'Only For FY', a 'FY 2014' dropdown, and checkboxes for 'With Status of:' (Draft, Pending ASO Approval, Pending Responsiveness Review, ASO Approved and Submitted, Deleted/Withdrawn). A 'Refresh List' button is also present. Below the filters, a message states: 'A filtered list of your applications is displayed below. You can sort this list by clicking on any of the underlined table headings. To view all of your applications, you may need to adjust the filters in the above table and press the "Refresh List" button.' The table below has columns for 'Application ID', 'Type\*\*', 'Title', 'Applicant', 'My Role', 'Due Date', 'Status', 'Funding Status', and 'Actions'.

All previously submitted applications by the applicant are listed on this page. After initial registration or after login, all users are encouraged to complete/verify the information under the *My Profile* link on the top left corner of this screen.

## 8. STARTING A NEW, RESUBMISSION, OR RENEWAL APPLICATION

### 8.1. Starting a New Application

New applications can be started in 1 of 2 ways:

1. My Applications (this is the default post-login page) → click “*Start New Application*” → “*FY 2015 Product Development Programs*” → select the appropriate RFA → click “*New Application*” or
2. Current Funding Opportunities → click “*FY 2015 Product Development Programs*” → select the appropriate RFA → click “*Start New Application*”

Upon starting a new application, applicants are required to enter the title of the application (160-character limit, including spaces; can be edited later) and select the submitter role. Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly.

Applicants are advised to carefully read the information on the summary page before moving on to the numbered tabs.

- Tab 1 (*Contacts*) **must** be completed/finalized before Tab 3 (*Collaborators and COIs*).
- Tab 2 (*Application Information*) **must** be completed/finalized before Tab 5 (*Budget*).

Other tabs may be completed in any order. Applicants must successfully complete/finalize all tabs to obtain ASO approval before the application can be successfully submitted by the ASO.

### 8.2. Starting a Resubmission Application

Resubmissions can be started from the *My Applications* page by clicking the “*Start Resubmission Application*” link of a previously unfunded application. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the applicant or company representative for a project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. In addition, the application is a resubmission only if the previous application was finalized and submitted; the application is not a resubmission if the previous application was left as draft.

Upon starting a resubmission application, applicants may revise the title of the application (prepopulated from the previous submission; 160-character limit) and select the submitter role. Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Once this step is completed, applicants will be directed to the summary page.

**Note:** Only the title of the previously submitted application is prepopulated for a resubmission application. All other information, including that for the Coapplicant, collaborators, Conflicts of Interest (COIs), and all required documents must be submitted afresh.

Carefully read the information on the summary page before moving on to the numbered tabs.

- Tab 1 (*Contacts*) **must** be completed/finalized before Tab 3 (*Collaborators and COIs*).
- Tab 2 (*Application Information*) **must** be completed/finalized before Tab 5 (*Budget*).

Other tabs may be completed in any order. Applicants must successfully complete/finalize all tabs to obtain ASO approval before the application can be successfully submitted by the ASO.

### **8.3. Starting a Renewal Application**

Refer to section 9.3 of the Product Development RFAs. Renewals can be started from the *My Applications* page by clicking the “*Start Renewal Application*” link of a previously funded application.

Upon starting a renewal application, applicants may revise the title of the application (prepopulated from the previous submission; 160-character limit) and select the submitter role. Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Once this step is completed, applicants will be directed to the summary page.

**Note:** Only the title of the previously submitted application is prepopulated for a resubmission application. All other information, including that for collaborators, and all required documents must be submitted afresh.

Carefully read the information on the summary page before moving on to the numbered tabs.

- Tab 1 (*Contacts*) **must** be completed/finalized before Tab 3 (*Collaborators and COIs*).
- Tab 2 (*Application Information*) **must** be completed/finalized before Tab 5 (*Budget*).



Other tabs may be completed in any order. Applicants must successfully complete/finalize all tabs to obtain ASO approval before the application can be successfully submitted by the ASO.

## 9. STATUS DISPLAY

### 9.1. Tab Status

The status of each tab is displayed under the row of numbered tabs. The figure below is an example of the status of Tab 1.

The screenshot shows a navigation bar for 'My Applications: Summary'. It contains a row of six tabs: 'Summary', 'Contacts 1', 'Application Information 2', 'Collaborator & COIs 3', 'Required Documents 4', 'Budget 5', and 'Final Review & Submit 6'. Below the tabs, the 'Application ID: RP120039' and 'Phase: Full Application' are displayed. On the right side, the status is shown as 'Status: DRAFT', which is circled in red.

Status	Status Definition
DRAFT	The tab is being prepared by the applicant.
PENDING ASO APPROVAL	The tab has been finalized by the applicant. When all tabs are finalized and reflect this status, the ASO will receive e-mail notification stating that the application can be reviewed/submitted. The applicant is included on this notification.
ASO APPROVED AND SUBMITTED	The ASO has reviewed, approved, and submitted the application to CPRIT. Once the application has been submitted by the ASO, the PI is notified via e-mail.

### 9.2. Application Status

The status displayed under the row of numbered tabs on the *Summary* tab indicates the status of the application.

## 10. TAB: SUMMARY

The status of each tab is also displayed on this page. Status definitions are described below.

**My Applications: Summary**

Summary
**1** Contacts
**2** Application Information
**3** Collaborators & COIs
**4** Required Documents
**5** Budget
**6** Final Review & Submit

Summary  
Application ID: DP140035 Phase: Full Application

**Application Title:** The screen shot  
**Program:** FY 2014 Product Development Programs  
**Award Type:** Company Relocation Product Development Award

Please be sure to verify format requirements. Applications that do not meet format requirements and/or reviewers' determination of readability may result in rejection of your application. Please check the format requirements found in the [Request for Application \(RFA\)](#).

**Full Application Deadline:** January 31, 2014 by 3:00 PM CT ([check current official time](#))

**This application is in progress and is not ready for ASO approval.** Each section outlined below must be completed, finalized, and approved by the ASO at your institution submission deadline. When all sections have been completed and set to "PENDING ASO APPROVAL", the Application Signing Official will need to approve the application for it to be forwarded for review. The table below shows the status of each section in the submission process as of **December 22, 2013 6:44 AM CT**.

Section #	Application Section	Status
1	<a href="#">Contacts</a>	draft
2	<a href="#">Application Information</a>	draft
3	<a href="#">Collaborators &amp; Conflicts of Interest</a>	draft
4	<a href="#">Required Documents</a>	draft
5	<a href="#">Budget</a>	draft
6	<b>Final Review and Submit</b>	NOT APPROVED

Section	Status	Status Definition
	Draft	The tab is being prepared by the applicant.
1-5	Pending ASO Approval	The tab has been finalized by the applicant. When all tabs are finalized and reflect this status, the ASO will receive e-mail notification that the application can be reviewed/submitted. The applicant is included on this notification.
	Not Approved	The application has not been approved/submitted by the ASO.
6	Pending	All tabs have been finalized by the applicant and reflect the status "pending ASO approval." At this point, the application is awaiting ASO approval and subsequent submission.

**Note:** As stated in the preceding section, the status displayed under the row of numbered tabs on this page indicates the status of the entire application.

## 11. TAB 1: CONTACTS

- **Applicant:** Verify information for the applicant; update as necessary.
- **Coapplicant (Optional):** If desired, 1 Coapplicant may be designated on the application.

To designate a Coapplicant, do the following:

- Click the “Search for Coapplicant” button.
  - Enter information, and click the “*Search Contacts*” button.
  - If the individual is listed on the subsequent search results page, that individual may be added to the application via the *Add Contact* link.
  - If the individual is not listed, different search criteria may be used; for example, using the last name only as well as spelling variations. Alternatively, invite the individual to register in CARS and be part of the application by clicking the “*Send Them an Invitation*” link. On the subsequent page, complete the fields, and click the “*Send Invitation*” button. When this individual joins the application as a Coapplicant, his or her information will be listed in the appropriate section of the tab.
  - Change or remove an individual by clicking the appropriate button.
- **Alternate Submitter (Optional):** If an alternate submitter is to be designated on the application, click the “*Search for Alternate Submitter*” button. Follow the search guidelines above.
  - **Application/Authorized Signing Official:** An ASO must be listed in order to complete/finalize this tab. Click the “*Search for Application Signing Official*” button. Follow the search guidelines above.
  - **Alternate Application/Authorized Signing Official (Optional):** This individual can be assigned only by the ASO. Follow the search guidelines above.
  - **Grants Contract/Office of Sponsored Projects Official:** A Grants Contract/Office of Sponsored Projects Official must be listed in order to complete/finalize this tab. This individual is assigned by the applicant.

**Note:** For each individual on this tab, please provide a direct phone number (with extensions, if applicable) and include a cell number as an alternate phone number. Please do not include main phone numbers that require navigation through a directory menu.

When all information is entered, click “*Finalize Contacts Section.*” Note that this tab cannot be finalized until the 3 required fields of this section—namely, “Applicant,” “Application/Authorized Signing Official,” and “Grants Contract/Office of Sponsored Projects Official”—have been completed. Applicant information is entered automatically; the ASO and Grants Contract/Office of Sponsored Projects Official are identified and added by the applicant.

## 12. TAB 2: APPLICATION INFORMATION

- **Application Identification**
  - **Award Mechanism:** Verify the listed award mechanism. Note that the award mechanism cannot be changed here.
  - **Application Type:** Verify the application type (drop list defaults to *New Application, Resubmission, or Renewal* as applicable)
  - **Application Title:** Review the application title and edit if necessary.
- **Project Information**
  - **Contract Start Date (m/d/yyyy):** The contract start date of 9/1/2015 is prepopulated.
  - **Proposed End Date (m/d/yyyy):** Enter the proposed end date of the project (a date between 6 months and 3 years from 9/1/2015).
- **Application Fee**
  - Company applicants must submit a Product Development review fee of \$1,000. Payment should be made by check or money order payable to CPRIT; electronic payments are not accepted at this time. The application ID and applicant name must be indicated on the payment. Unless a request to submit a late fee has been approved by CPRIT, all payments must be postmarked by the application submission deadline and mailed to the following address:

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

- **Application Classification**
  - **Company Focus:** Select the research area that best describes the proposed work.
  - **Program Focus:** Select the focus of the proposed work.
  - **Cancer Site Addressed:** Select the cancer site(s) that will be addressed during the proposed project.
- **Vertebrate Animals:** Indicate whether vertebrate animals will be used.
- **Biologic/Anatomic Substances:** Indicate whether cadavers will be used. In addition, specify the use of human anatomical substances. If human anatomical substances will be used, specify if the substances are traceable to specific donors. Also, select applicable safety provisions.
- **Human Subjects:** Indicate whether human subjects will be used. Specify the sex, age, and ethnicity of the study population. Specify the method of data collection. Provide the general demographic focus. Select the type of clinical trial, if applicable.
- **State Legislative Districts**
  - **State Senate District:** Enter the state Senate district of the applicant’s institution. Use the link provided to find this information using the applicant’s institutional address.
  - **State House District:** Enter the state House district of the applicant’s institution. Use the link provided to find this information using the applicant’s institutional address.
  - Applicants not currently based in Texas should enter the state Senate and state House districts of their proposed new location.
- **Cancellation of Applications/Awards by Granting Organization (in past 5 years)**
  - Select whether the applicant is currently eligible to receive federal grant funds. If no, please provide the reason in the drop-down text box.
  - Select whether the applicant had an application or award terminated for cause within the last 5 years. If yes, then select the category of Application or Award. Select the Granting Organization. Enter the Award Title, Award Number, Award Amount, and the Reason for Cancellation. Click the “*Add Application/Award*” link to include additional applications or awards.

- **Donations:**
  - Select whether the applicant or any individual listed on the application has made a donation, gift, or grant to CPRIT, the CPRIT Foundation, the Texas Cancer Coalition, or any nonprofit organization/entity established to benefit CPRIT. If yes, then enter the name of the donor, entity name, donation amount, and date of donation. Click the “*Add Donation*” link to include additional donations.
- **CPRIT Priorities Addressed (from Statute or Texas Cancer Plan):**
  - Choose the CPRIT priority addressed in the application. More than 1 priority may be selected. If Choice 5 is selected, then enter the name of the research sponsor and the sponsor’s priority that the application addresses.

Review the instructions and click the appropriate box (“*Save Application Information as Draft*” or “*Finalize Application Information for ASO Approval*”) to save entered application information.

**Note:** Application information saved as a “draft” can be edited at a later time. Application information “finalized for ASO approval” can be edited only after the ASO has reset the section to draft mode at the request of the applicant.

### **13. TAB 3: COLLABORATORS AND CONFLICTS OF INTEREST (COIS)**

Enter information for any collaborators and/or individuals with COIs. When all information is entered, click “*Finalize Collaborators and COIs.*” When all information is entered, click “*Finalize Collaborators and COIs.*” Please note that the biosketch that is in *My Profile* when Tab 3 is finalized will be reflected in the final application. Please make sure that you make any updates in the biosketch before finalizing this tab. Any changes after this point will be saved in *My Profile* but will not be copied to the final version of this application.

## 14. TAB 4: REQUIRED DOCUMENTS

The system will not allow upload of documents that exceed the page limits specified in the RFA for the award mechanism. Do NOT password protect documents.

**Applicants are advised to carefully read these instructions and the appropriate RFA.**

The following abbreviations are used in the RFA section references below:

- ESTCO: Established Company Product Development Awards
- NEWCO: New Company Product Development Awards
- RELCO: Company Relocation Product Development Awards

### 14.1. Enter Abstract and Significance (use text box provided)

- **RFA section reference:** section 11.4.1 (ESTCO, NEWCO, RELCO)
- **Character limit:** 5,000 characters, including spaces
- Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Save the entered information. Information must be saved before any documents are uploaded or else the abstract will be lost when the upload refreshes the Web page.

### 14.2. Enter Layperson's Summary (use text box provided)

- **RFA section reference:** section 11.4.2 (ESTCO, NEWCO, RELCO)
- **Character limit:** 1,500 characters, including spaces
- Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Save the entered information. Information must be saved before any documents are uploaded or else the abstract will be lost when the upload refreshes the Web page.

### 14.3. Enter Goals and Objectives (use text box provided)

- **RFA section reference:** section 11.4.3. (ESTCO, NEWCO, RELCO)
- **Character limit:** 1,200 characters for each goal and objective, including spaces

- Goals and Objectives will be reviewed during the evaluation of annual progress reports. Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Save the entered information. Information must be saved before any documents are uploaded or else the abstract will be lost when the upload refreshes the Web page.
  - At least 1 goal and 1 objective are required. At least 1 objective is required per goal. Up to 5 goals and 5 objectives per goal may be entered.
  - Click the “*Add Objective*” link to add additional objective to a goal.
  - Click the “*Add Goal*” link to add additional goal.

#### **14.4. Upload Timeline (PDF format)**

- **RFA section reference:** section 11.4.4. (ESTCO, NEWCO, RELCO)
- **Page limit:** 1 page
- Timelines will be reviewed during the evaluation of annual progress reports.

#### **14.5. Upload the Resubmission Summary (for Resubmissions Only; PDF format)**

- **RFA section reference:** section 11.4.5 (ESTCO, NEWCO, RELCO)
- **Page limit:** 1 page
- When submitting a new application, an upload box for a resubmission summary will not be present.

#### **14.6. Upload the Renewal Justification Summary (for Renewals Only; PDF format)**

- **RFA section reference:** section 11.4.6 (ESTCO only)
- **Page limit:** 1 page
- When submitting a new application, an upload box for a renewal summary will not be present.

#### **14.7. Upload the Executive Summary (PDF format)**

- **RFA section reference:** section 11.4.6 (NEWCO, RELCO); 11.4.7 (ESTCO)
- **Page limit:** 1 page



#### 14.8. Upload the Slide Presentation (PDF format)

- **RFA section reference:** section 11.4.7 (NEWCO, RELCO); 11.4.8 (ESTCO)
- **Page limit:** 10 pages
- The presentation should be submitted in PDF format, with one slide filling each landscape-orientation page. The slides should succinctly capture all essential elements of the application and should stand alone as a visual representation of the application.

#### 14.9. Upload the Scientific Plan (PDF format)

- **RFA section reference:** section 11.4.8 (NEWCO, RELCO); 11.4.9 (ESTCO)
- **Page limit:** 15 pages
- Applicants are advised to read the relevant RFA section carefully, a portion of which is copied here for emphasis: **The scientific plan submitted must be of sufficient depth and quality to pass rigorous scrutiny by the highly qualified group of reviewers. To the extent possible, the scientific plan should be driven by data. In the past, applications that have been scored poorly have been criticized for assuming that assertions could be taken on faith.** Convincing data are much preferred. References should be included at the end of the document, within the 15-page limit. An 8-point font may be used for references only, not for the body of the text.

#### 14.10. Upload the Business Plan (PDF format)

- **RFA section reference:** section 11.4.9 (NEWCO, RELCO); 11.4.10 (ESTCO)
- **Page limit:** 15 pages
- Applicants are advised to read the relevant RFA section carefully. Successful applicants will make thoughtful, careful, and economical use of the limited space to address all of the required topics. References (if applicable) should be included at the end of the document, within the 15-page limit. An 8-point font may be used for references only, not for the body of the text.

#### 14.11. Upload the Competitive Landscape/Intellectual Property Plan (PDF format)

- **RFA section reference:** section 11.4.10 (NEWCO, RELCO); 11.4.11 (ESTCO)
- **Page limit:** 5 pages
- The template named “Competitive Landscape/Intellectual Property,” located in the *My Applications: Summary* tab should be used.

#### 14.12. Upload the Relocation Commitment to Texas (PDF format)

- **RFA section reference:** section 11.4.11 (NEWCO, RELCO)
- **Page limit:** 1 page
- If this is a NEWCO application and your company will be relocating to Texas, upload a 1-page timetable with key dates indicating the applicant’s plan and commitment to relocate to Texas. In addition, describe which personnel and management will be headquartered in Texas. If this is a NEWCO application and your company will not be relocating to Texas, upload a page stating N/A.

#### 14.13. Upload the Biographical Sketches of Key Scientific Personnel (PDF format)

- **RFA section reference:** section 11.4.12 (ESTCO, NEWCO, RELCO)
- **Page limit:** 8 pages
- The template named “Product Development Programs: Biographical Sketches,” located in the *My Applications: Summary* tab should be used. Up to 4 biographical sketches (up to 2 pages each) of key scientific personnel should be included as a combined PDF document of up to 8 pages total. Biosketches must not exceed 2 pages for each individual. If 2 biosketches are being provided, these must be combined into a single file and submitted as a single PDF document, ie, a 4-page document consisting of two 2-page biosketches.
- The following are examples of key scientific personnel: Chief medical officer, senior scientist, and scientific advisor. If the president and/or chief executive officer have significant involvement with the scientific direction of the company, it may be appropriate to include them as key scientific personnel.

- The following examples are NOT key scientific personnel: Chief operating officer, chief financial officer, regulatory specialist, project manager, and intellectual property consultant. Biographical sketches for such individuals should not be included in this upload. Instead, the qualifications of key, nonscientific personnel are to be described in section I of the business plan, which is included in section 11.4.10 of the ESTCO RFA and section 11.4.9 of the NEWCO and RELCO RFAs.

#### **14.14. Verify and Finalize Required Documents for ASO Approval and Submission**

When all information is entered, click the “*Finalize Required Documents*” button.

### **15. TAB 5: BUDGET**

**This tab should include only the amount requested from CPRIT; do NOT include the amount of the match.**

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

1. Senior/Key Person and Other Personnel
2. Detailed Budget for Year 1
3. Budget for Entire Proposed Period of Performance
4. Budget Justification

Each award mechanism allows for up to a 3-year funding program with an opportunity for renewal after the term expires. Financial support will be awarded based upon the breadth and nature of the program proposed. While requested funds must be well justified, there is no limit on the amount that may be requested. Funding will be tranced and milestone driven.

**Note:** Some or all of the following buttons appear on each subtab:

**Previous** = Move to the previous subtab

**Next** = Move to the next subtab

**Save Budget as Draft** = Save entered information

**Finalize Budget for ASO Approval** = Finalize section

The *Previous* and *Next* buttons allow the user to move between subtabs while retaining entered information for as long as the user is on the *Budget* tab. Information entered on any subtab is NOT saved until the *Save Budget as Draft* button is clicked. Moving to another tab without saving will result in loss of any unsaved changes.

### **15.1. Senior/Key Person and Other Personnel (use Web form provided)**

**Name:** The applicant name is prepopulated. Enter names of other individuals as necessary. Additional rows will automatically appear once text is entered into the existing last row.

**Role on Project:** The applicant role is prepopulated. Enter roles of other individuals as necessary.

**Type of Appointment (Months):** For each individual listed, enter appointment type (eg, 6-month, 9-month, 12-month appointment).

**Annual Base Salary:** For each individual listed, enter institutional base salary.

**Effort on Project:** For each individual listed, enter percent effort on the project.

**Salary Requested:** The individual salary cap for CPRIT Awards is \$200,000; see [section 15.5](#), Salary Cap.

- Click “*Calc*” to automatically calculate the requested salary.
- If preferred, the salary requested may be manually entered.
- A salary of \$0 may be entered for any listed individual. In such cases, the system will display a “warning” to notify the submitter of this amount. The tab can still be finalized with warnings. However, a “warning” must be addressed before a tab can be finalized.

**Fringe Benefits:** For each individual listed, institutional fringe benefits must be calculated based on the individual’s direct salary requested.

### **15.2. Detailed Budget for Year 1 (use text boxes/Web form provided)**

Provide the information requested for other direct costs in the first year of the project.

**Major Equipment:** (400-character limit) Itemize as necessary. Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT if the project is funded.

**Travel Costs:** Include any costs associated with necessary travel. CPRIT funds may be used to send up to 2 people to CPRIT's annual conference.

**Materials, Supplies, and Consumables:** (800-character limit) Itemize by category.

**Consultant Costs:** Enter costs for consulting services that may be used during the proposed project.

**Subaward/Consortium/Contractual Costs:** (400-character limit) List all subawards and collaborator- or contractor-associated amounts. State direct costs only. Each subaward must be itemized in the *Budget Justification* subtab by stating project costs for personnel, major equipment, materials and supplies, clinical services, and other expenses.

**Research-Related Subject Costs:** Enter research-related subject costs that may be incurred during the proposed project.

**Other Expenses:** (800-character limit) Itemize other project-associated direct expenses by category.

**Indirect Costs:** Texas state law limits the amount of awarded funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs).

### **15.3. Budget for Entire Proposed Period of Performance (use Web form provided)**

Amounts for *Budget Year 1* will be automatically populated based on the information provided on the previous subtabs; namely, *Senior/Key Person and Other Personnel* and *Detailed Budget for Year 1*. Cost adjustments of up to a 3-percent annual increase for salary and other categories are permitted for additional years. A 3-percent salary increase for Years 2 to 3 is permitted up to the cap of \$200,000. The salary cap ([section 15.5](#)) may be revised every year at CPRIT's discretion.

**Estimated Revenue:** Applicants should provide estimated revenue amounts and the source of estimated revenue. Estimated revenue should not be deducted from or added to the total requested budget.

#### 15.4. Budget Justification (use text box provided)

Provide a brief and concise justification of the budget (15,000-character limit) for the entire proposed period of support, including salaries and benefits, supplies, equipment, and other expenses. **Each subaward must itemize project costs for all cost categories.**

**Note: Do NOT copy and paste the text of the Budget Justification directly from Word or from Excel. First pass the text through a plain text editor (Notepad or Wordpad) to strip away formatting;** formatting may be applied within the html text editor itself. Copying and pasting directly from Word is likely to result in undesirable formatting issues that may not be apparent until the information in this section is extracted and included in the completed version of the application PDF.

#### 15.5. Salary Cap

The salary cap for CPRIT Awards in FY 2015 (September 1, 2014, through August 31, 2015) is \$200,000. Thus, the maximum direct salary support that an individual can request is up to \$200,000 of his or her salary based on percentage of effort on a project. In other words,

- With 100% effort on the project, individuals with a salary of less than \$200,000 would request the entire salary amount.
- With 100% effort on the project, individuals with a salary of more than \$200,000 would request the salary cap of \$200,000.
- With 50% effort on the project, individuals with a salary of more than \$200,000 would request \$100,000.

The following table outlines the salary cap guidelines. Institutional fringe benefits should be calculated based on the direct salary support requested.

<b>Base institutional salary (full-time calendar appointment)</b>	<b>Effort on project</b>	<b>Maximum direct salary support that would be requested by the applicant</b>
Less than \$200,000	1–100%	Up to base salary
More than \$200,000 (eg, \$300,000)	100%	\$200,000
More than \$200,000 (eg, \$300,000)	50%	\$100,000

## 16. TAB 6: FINAL REVIEW AND SUBMISSION

When Tabs 1 through 5 have been completed and finalized by the applicant, the status of the application will be set to “PENDING ASO APPROVAL.” The ASO will then receive a notification e-mail to review, approve, and submit the application to CPRIT. Only the ASO is authorized to officially submit the application. The ASO should log in to CARS and click the appropriate application ID number on the *My Applications* page. To submit the application, the ASO must enter his or her password and click the “*Approve and Submit Application*” button. The ASO will then be asked to click the “*Continue*” button to submit the application. After the application has been submitted, the status of the application on the *My Applications* page (and also on all tabs of that application) will be “ASO APPROVED AND SUBMITTED.” The ASO at the applicant’s institution must submit the application by the submission deadline: February 9, 2015, 3 PM central time.

## 17. TEMPLATES

In FY 2015 Cycle 4, two templates are provided: “Competitive Landscape/Intellectual Property” and “Product Development Biographical Sketch” ([https://cpritgrants.org/Current\\_Funding\\_Opportunities/](https://cpritgrants.org/Current_Funding_Opportunities/)). These templates are only to be used for the Competitive Landscape/Intellectual Property Plan (see section 14.11) and for the biographical sketches of key scientific personnel (see section 14.13).

## 18. FORMATTING INSTRUCTIONS

All sections of the application should be written in clear and comprehensible text and must follow the guidelines described below. Applicants are advised to use font sizes, font faces, line spacing, page sizes, and page margins that permit easy readability of the application text. Applications that do not meet these guidelines are subject to administrative withdrawal.

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Document type:** PDF
- **Language:** English
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point), with the exception of reference lists, which may be provided in 8-point font to save space.
- **Line Spacing:** Single
- **Page Size:** 8.5 x 11 inches
- **Margins:** 0.75 inch in all directions
- **Color and High-Resolution Images:** Any images, graphs, figures, and other illustrations must be submitted as part of the appropriate submitted document. It is suggested that applicants include text to explain illustrations that may be difficult to interpret when printed in black and white. Color may be used in the text as well.
- **Scanning Resolution:** 100 to 150 dpi
- **The CPRIT logo may NOT be used.**
- **Reference format:** Use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.  
  
Smith, P.T., Doe, J., White, J.M., et al (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research* 135, 45-67.
- **Headers and Footers:** Do not apply a header. A header in the following format will be applied to the whole application after the various application components are combined:



[Application ID] / [Company Name] / [Applicant Name] / [Page Number]

- **Page Numbering:** Add page numbers in the footer for each document that is uploaded as a PDF. Restart the page numbering at 1 for each document.
- **Cover Page:** A cover page for each application component section is automatically generated; for example, “[**Application ID**], **Business Plan.**” Therefore, there is no need to use one of the limited number of pages for each section to create an additional cover page.

## 19. CONTACT INFORMATION

### 19.1. 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 are not in a position to answer questions regarding scientific and commercialization aspects of applications.

**Dates of operation:** January 5, 2015, to February 9, 2015  
(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](mailto:Help@CPRITGrants.org)

### 19.2. Programmatic Questions

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

**Tel:** 512-305-8419

**E-mail:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.state.tx.us](http://www.cprit.state.tx.us)