

# INSTRUCTIONSFOR APPLICANTS

# Research Training Awards Continuation for Years 4 and 5

**RFA R-14-RTA-C-1** 

FY 2014

Fiscal Year Award Period

September 1, 2013-August 31, 2014

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## **VERSION HISTORY**

Rev 12/16/13 Document posted

#### 1. INTRODUCTION

The CPRIT Application Receipt System (https://cpritgrants.org) provides a means for the research community (i.e., Principal Investigators [PIs] and Application 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 to submit an application in response to CPRIT's Request for Applications (RFA) for Research Training Awards—Continuation for Years 4 and 5 (RFA R-14-RTA-C-1). Applications may be submitted from December 17, 2013 through January 3, 2014.

#### 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 18.1) 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*.
- **Document Format for Uploaded Files**: Use Portable Document Format (PDF) only.
  - Do NOT password-protect documents.
  - o 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
- Submission Process:
  - The applicant completes/finalizes all sections and forwards it to the organization's
     ASO for review and final submission to CPRIT. The ASO is an individual authorized to submit an application for the organization.
  - The application <u>must be submitted by the ASO</u> on or before January 3, 2014,
     3 p.m., Central Time.

#### • Tab Finalization and Reset:

- o 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 PI.

#### 3. APPLICATION SUBMISSION DEADLINE

The application must be submitted on or before January 3, 2014, 3 p.m. 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 SIGNING OFFICIAL (ASO)

The ASO is an individual authorized to submit an application on behalf of an organization. An ASO is required on the application and must be identified by the PI.

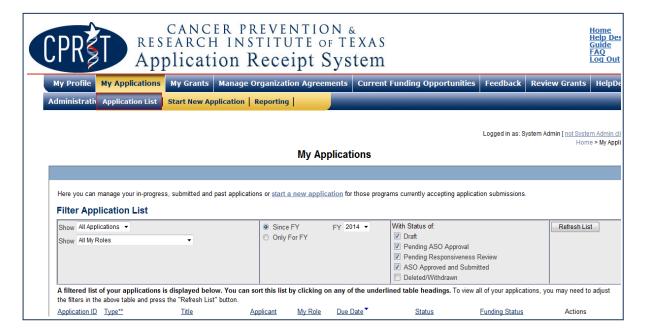
As the organization's representative, the ASO is required to review the tabs finalized by the PI and subsequently submit the application. Only the ASO is authorized to officially submit the application to CPRIT. The ASO can reset PI-finalized tabs to draft at the request of the PI.

# 6. GRANTS CONTRACT/OFFICE OF SPONSORED PROJECTS OFFICIAL

The Grants Contract/Office of Sponsored Projects Official is the individual who will manage the grant if an award is made. This individual must be identified for the application. The PI or the ASO can assign this individual to this role.

#### 7. USER REGISTRATION AND/OR LOGIN

Applicants begin the application process by registering or logging in to the CPRIT Application Receipt System (https://cpritgrants.org). Upon successful login into the system, applicants will be presented with the *My Applications* page shown on the next page. All prior submitted applications by that user 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 of this screen. A biosketch is required for the PI and the Co-PI.



#### 8. STARTING A NEW APPLICATION

New applications can be started in one of two ways:

- My Applications (this is the default page after login) → click start a new application →
   FY2014 Research Programs → Research Training Awards—Continuation → click New
   Application, or
- 2. Current Funding Opportunities → click FY 2014 Research Programs → Research Training Awards—Continuation → click Start New Application.

Upon starting a new application, applicants are required to enter the title of the application (160 character limit; can be edited later) and select the submitter role. Do NOT use symbols or special characters (e.g., Greek letters)—these will not be transmitted correctly. Once this step is completed, applicants will be directed to the summary page.

Applicants are advised to carefully read the information on the summary page before moving on to the numbered tabs. All tabs must be successfully completed/finalized by the applicant before the ASO can review, approve, and successfully submit the application.

- Tab 1 (Contacts) must be completed/finalized prior to Tab 3 (Collaborators and COIs).
- Tab 2 (Application Information) must be completed/finalized prior to Tab 4 (Required Documents) and Tab 5 (Budget).

#### 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.



Status	Status Definition		
DRAFT	The tab is being prepared by the applicant.		
PENDNG ASO APPROVAL	The tab has been finalized by the applicant. When all tabs are finalized and reflect this status, the ASO will receive email 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 (as indicated in the figure above).

#### 10. TAB: SUMMARY

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



Section	Status	<b>Status Definition</b>		
	draft	The tab is being prepared by the applicant.		
	pending ASO approval	The tab has been finalized by the applicant. When all tabs		
1–5		are finalized and reflect this status, the ASO will receive		
1 3		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		
	NOT MINOVED	ASO.		
6	PENDING	All tabs have been finalized by the applicant and reflect		
O		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

- **Principal Investigator:** Verify information for the PI; update as necessary.
- **Co-Principal Investigator (Optional):** Co-PI may be designated by following the steps below:
- Click the *Search for Co- Principal Investigator* button.
  - o Enter information and click the *Search Contacts* button.
  - o If the individual is listed on the subsequent search results page, that individual may be added to the application via the *Add Contact* link.
  - o If the individual is not listed, different search criteria may be used (for example, using the last name only, spelling variations, etc.). Alternatively, the individual may be invited to register in the CPRIT Application Receipt System 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 Co-PI, his or her information will be listed in the appropriate section of the tab.

- o Change or remove an individual by clicking the appropriate button.
- Alternate Submitter (Optional): An alternate submitter may be designated on the application by the PI. Follow the search guidelines above.
- Application Signing Official (Required): An ASO <u>must</u> be listed in order to complete/finalize this tab. Click the *Search for Application Signing Official* button. Follow the search guidelines above.
- Alternate Application 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 <u>must</u> be listed in order to complete/finalize this tab.
  This individual can be assigned by the PI or the ASO. Follow the search guidelines
  above.

When all information is entered, click the *Finalize Contacts Section* button. Note that this tab cannot be finalized until the three required fields of this section, namely, "Principal Investigator," "Application Signing Official," and "Grants Contract/Office of Sponsored Projects Official" have been completed. PI information is entered automatically; an ASO must be identified and added by the PI. The Grants Contract/Office of Sponsored Projects Official may be identified and added by the PI or the Application Signing Official.

#### 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 application type (drop list defaults to *Continuation*,
   *Resubmission*, or *Renewal* as applicable). Choose "Continuation."
- Application Title: The application title is stated. Edit, if necessary.

#### • Project Information

- Contract Start Date (m/d/yyyy): The contract start date 3/1/2013 is prepopulated.
- Proposed End Date (m/d/yyyy):Enter the proposed end date of the project. The maximum duration is 2 years (24 months).

#### • Application Classification:

o **Research Area**: Select the research area that best describes the proposed work.

#### • State Legislative Districts

- State Senate District: The applicant should enter the State Senate District of his
  or her institution. Use the link provided to find this information using the
  applicant's institutional address.
- State House District: The applicant should enter the State Senate District of his
  or her institution. Use the link provided to find this information using the
  applicant's institutional address.

#### • Cancellation of Applications/Awards by Granting Organization (in past 5 years)

- o Select whether the PI is currently eligible to receive Federal grant funds.
- Select whether the PI 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 add additional applications or awards.

#### Donations:

Select whether the PI 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 add additional donations

#### • CPRIT Priorities Addressed (from Statute or Texas Cancer Plan):

Choose the CPRIT priority addressed in the application. More than one 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 button (*Save Application Information as Draft* or *Finalize Application Information for ASO Approval*) to save entered application information.

**NOTE**: Application information saved as "draft" can be edited at a later time. Application information "finalized for ASO approval" can be edited only after the ASO has reset the application to draft mode at the request of the PI.

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

- **Investigators and Submitters**: Ensure that biosketches for the PI and Co-PI (if designated) are uploaded. If the biosketches are missing, they can be uploaded under the *My Profile* link via that individual's account. This tab cannot be finalized without the biosketch of the PI and Co-PI (if designated).
- Collaborators and Conflicts of Interest (COI): Enter information for all collaborators and conflicts of interest (select the appropriate *Role for Application* from the drop list). Click the *Save as Draft* button to save additions.
- Collaborators Listed: Review the list to ensure that all entered collaborators have been successfully added.
- Conflicts of Interest (COI) Listed: Review the list to ensure that all entered conflicts of interest have been successfully added.

When all information is entered, click the *Finalize Collaborators and COIs* button. Note that this tab can be finalized only after Tab 1 (Contacts) has been finalized.

#### 14. TAB 4: REQUIRED DOCUMENTS

**NOTE**: All documents must be uploaded in PDF format only. The system will not allow upload of documents in other formats or documents that exceed the page limits specified in the individual RFAs. Do NOT password-protect documents. Do NOT submit documents that are bound together in a single PDF package.

- **Application Summary:** (5,000 characters) Character limits include letters, spaces, and punctuations. Do NOT use symbols or special characters (e.g., Greek letters)—these will not be transmitted correctly. Save the entered information by clicking the *Save Application Abstracts as Draft* button. Information must be saved before any documents are uploaded or the summary will be lost when the upload refreshes the Web page.
- Goals and Objectives (1,200 characters per Goal and per Objective): The Goals and Objectives of the application should be entered as plain text. HTML formatting, tables, charts, and diagrams are not supported. Goals and Objectives may be saved as a draft at any time by clicking the "Goals and Objectives as Draft" button. Any unsaved Goals and Objectives will be lost.
  - At least one Goal and one Objective is required. At least one Objective is required per Goal. Up to five Goals and five Objectives per Goal may be entered.
  - o Click the "Add Objective" link to add Objectives to a Goal.
  - Click the "Add Goal" link to add Goals.
- **Timeline**: Upload Timeline PDF document (1 page)
- **Research Training Plan**: Upload the Research Training Plan PDF document (up to 10pages).
- **Publications/References**: Upload the Publications/References PDF document.
- **PI, Co-PI, and Mentor Information:** Upload the PI, Co-PI, and Mentor Information PDF document (see RFA for details). Multiple files <u>must be combined and submitted</u> as a single PDF document.

 Institutional Current and Pending Support: Upload Institutional Current and Pending Support PDF document (see RFA for details). Multiple files <u>must be</u> <u>combined and submitted as a single PDF document</u>.

• **Training Record:** Upload the Training Record PDF document (see RFA for details). Multiple files must be combined and submitted as a single PDF document.

• **Current Trainee Pool:** Upload the Current Trainee Pool PDF document (see RFA for details). Multiple files must be combined and submitted as a single PDF document.

Institutional Environment and Commitment: If applicable, upload the Institutional
Environment and Commitment PDF document (see RFA for details). Multiple files
must be combined and submitted as a single PDF document.

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

The budget section is composed of four subtabs:

1. Senior/Key Person & Other Personnel

2. Detailed Budget for Year One

3. Budget for Entire Proposed Period of Performance

4. Budget Justification

All four subtabs must be completed to finalize this section. A detailed budget for the first year of the project is required. Applicants may request up to two-thirds of the total amount awarded as part of the initial 3-year award.

**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 & Other Personnel

Complete the requested information.

**First Name** and **Last Name**: The PI's 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 PI's role is prepopulated. Enter roles of other individuals as necessary.

**Type Appointment (Months)**: For each individual listed, enter his or her appointment type; (e.g., 6-month, 9-month, 12-month appointment).

**Annual Base Salary**: For each individual listed, enter their institutional base salary. The salary cap for CPRIT Awards for FY 2014 (September 1, 2013 through August 31, 2014) is \$200,000; see Section 15.5, Salary Cap.

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

**Salary Requested**: After entering the information in these categories, click "Calc" to automatically calculate the requested salary.

**Fringe Benefits**: For each individual listed, their institutional fringe benefits must be calculated based on their direct *Salary Requested*. Fringe benefits may not exceed 35 percent of the salary requested (a warning will be displayed).

### 15.2. Detailed Budget for Year One

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

**Travel**: Include any project-related travel charges. CPRIT cannot support patient-related travel charges. CPRIT funds may be used to send up to two people to CPRIT's annual conference.

**Equipment** (400-character limit): Itemize as necessary. Equipment having a useful life of more than 1 year and an acquisition charge of \$5,000 or more per unit must be

specifically approved by CPRIT. Preapproval is not required; if the project is funded, approval may be requested at that time.

**Supplies** (800-character limit): Itemize by category, as necessary.

**Consultant Charges**: State charges for consulting services that may be used during the proposed work.

**Contractual (Subaward/Consortium)** (400-character limit): Itemize all subaward- and consortium-associated amounts. <u>State direct charges only</u>. Each subaward must be itemized in the *Budget Justification* subtab by stating project charges for personnel, travel, equipment, supplies, consultants, research-related subjects, and other expenses.

**Research-Related Subject Charges**: Enter charges associated with subjects related to the proposed work; (e.g., charges associated with participation of human subjects in clinical trials.) CPRIT cannot support patient-related travel charges.

Other (800-character limit): Itemize other project-associated expenses.

Indirect Charges: CPRIT limits indirect charges to a maximum of 5 percent. <u>Total Indirect Charges for Year One (line D) should not exceed 5 percent of the *Total Charges* for Year One (line E). As an example, for a total award of \$100,000, indirect charges may not exceed \$5,000; direct charges would be \$95,000.</u>

Calculate as follows: Total Indirect Charges = (Total Direct Charges/0.95) – Total Direct Charges.

Note for Subawards: Subawards may recover indirect charges of up to the maximum of 5 percent of the total requested subaward amount. However, because CPRIT Awards will be made to the primary institution (which, in turn, will manage the subcontracts), the indirect charges for each subcontract is calculated as part of the total amount requested by the primary institution. Do not include indirect charges in the *Contractual* (Subaward/Consortium) category. The appropriate subaward amount—including the allowable indirect charges—will be forwarded to the subcontracting institution by the primary institution.

#### 15.3. Budget for Entire Proposed Period of Performance

Amounts for *Budget Year One* will be automatically populated based on the information provided in the previous subtabs, namely, *Senior/Key Person & Other Personnel* and *Detailed Budget for Year One*. For each additional year of support requested, enter the budget requested for personnel charges and other applicable direct charges. Fringe benefits may not exceed 35 percent of the salary (a warning will be displayed). Cost adjustments of up to a 3 percent annual increase for salary and other categories are permitted for Years 2–3. A 3 percent salary increase for Years 2–3 is permitted up to the cap of \$200,000. The salary cap (Section 15.5) may be revised every year at CPRIT's discretion

Enter the indirect charges for each additional year of support requested. *Total Indirect Charges* (line D) should not exceed 5 percent of the total requested award amount for that year (sum of lines C and D). Calculate as follows: Total Indirect Charges = (Total Direct Charges/0.95) – Total Direct Charges.

#### 15.4. Budget Justification

Provide a <u>brief and concise</u> justification of the budget (15,000-character limit) for the entire proposed period of support for all charge categories—personnel (salaries and fringe benefits), travel, equipment, supplies, consultant charges, contractual (subaward/consortium) charges, research-related subject charges, other expenses (including animal care charges), and indirect charges. <u>Each subaward must itemize</u> project charges for all charge categories.

**NOTE:** If the text for the budget justification is prepared using Microsoft Word, applicants are advised to first copy and paste this text into a plain-text editor such as Notepad or WordPad (to remove all formatting) before copying and pasting it into the receipt system's text entry field. The following is an example of minimal formatting that translates cleanly to the final output of the budget section of the application. Headings in upper case, no bullets, and an additional hard return between paragraphs and sections improves legibility. No tabs or tables are used.

#### **HEADING 1**

- \* < Justification itemization 1>
- \* < Justification itemization 2>

**HEADING 2** 

Sub-Heading 2.1

<Justification text>

Sub-Heading 2.2

<Justification text>

**HEADING 3** 

<Justification text>

#### 15.5. Salary Cap

The salary cap for CPRIT Awards in FY 2014 (September 1, 2013 through August 31, 2014) is \$200,000. Thus, the maximum direct salary support an individual can request is up to \$200,000 of their institutional salary based on effort on a project. In other words:

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

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

#### 16. TAB 6: FINAL REVIEW & SUBMIT

When Tabs 1 through 5 have been completed and finalized by the applicant, the status of the application is set to "PENDING ASO APPROVAL." The ASO will then receive e-mail notification to review, approve, and submit the application to CPRIT. Only the ASO is authorized to officially submit the application. The ASO must log into the system and click the appropriate application ID number listed under 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 PI's institution must submit the application by the submission deadline: January 3, 2014, 3 p.m., Central Time.

#### 17. FORMATTING INSTRUCTIONS

All sections of the application should be written in clear and legible 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. Every attempt should be made to keep files sizes to a minimum (see *Scanning Resolution* below). Applications that do not meet these guidelines are subject to administrative withdrawal.

Formatting guidelines for all submitted CPRIT applications are as follows:

• **Language**: English

• **Document Format**: PDF only

• Font Type/Size: Arial (11 point), Calibri (11 point), or Times New Roman (12 point)

• Line Spacing: Single

• Page Size: 8.5 x 11 inches

• Margins: 0.75 inch, all directions

Color and High-Resolution Images: Images, graphs, figures, and other illustrations
must be submitted as part of the appropriate submitted document. Applicants should
include text to explain illustrations that may be difficult to interpret when printed in
black and white.

• Scanning Resolution: Images and figures must be of lowest reasonable resolution that permits clarity and readability. Unnecessarily large files will NOT be accepted, especially those that include only text.

 References: List all contributing authors. Only official journal abbreviations may be used.

Applicants should use the following format: Smith, P.T., Doe, J., White, J.M. (2006). Elaborating on a novel mechanism for cancer progression. Journal of Cancer Research 135, 45–67.

- Internet URLs: Applicants are encouraged to provide the URLs of publications referenced in the application; however applicants should not include URLs directing reviewers to Web sites containing additional information about the proposed research.
- **Headers and Footers**: These should not be used unless they are part of a provided template. Page numbers may be included in the footer (see following point).
- Page Numbering: Pages should be numbered at the bottom right corner of each page.
- Supplemental ("Appendix") Material: Appendices are permitted only if certification documents and/or clinical trial protocols are vital to the evaluation of the proposed

research study. Applicants are strongly advised not to submit publications, figures,

and/or data.

• All attachments that require signatures must be filled out, printed, signed, scanned,

and then uploaded in PDF format.

#### 18. CONTACT INFORMATION

#### 18.1. HelpDesk

HelpDesk support is available for technical 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 aspects of applications.

**Dates of operation:** December 9, 2013 to January 3, 2014 (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: ResearchHelp@CPRITGrants.org

#### 18.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Web site: www.cprit.state.tx.us