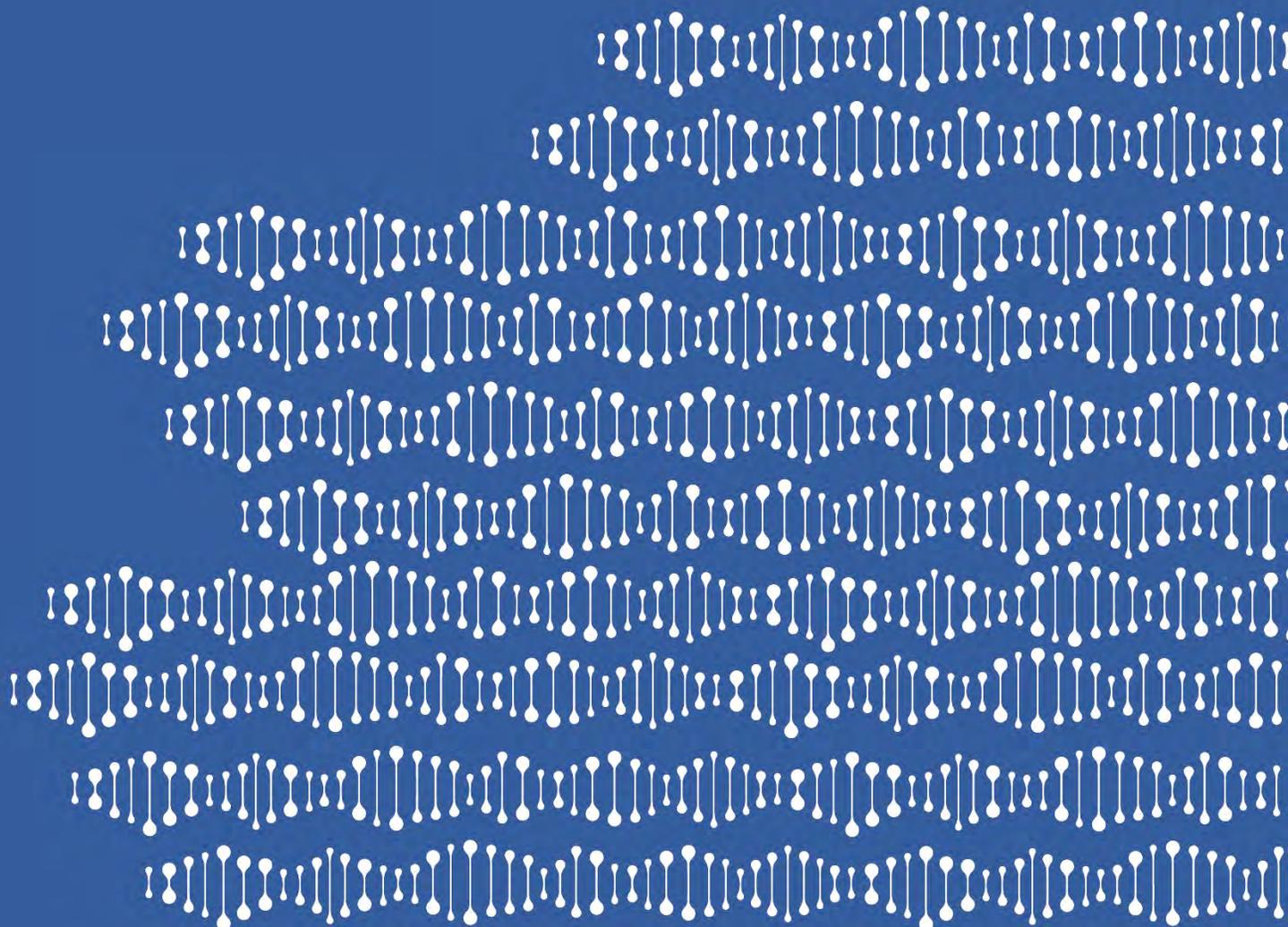




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

May 17, 2017



*Information in this packet is confidential until announced at
the May 17, 2017 Oversight Committee meeting.*

Academic Research Program Priorities Addressed by Recommended Awards

| Recruitment of outstanding cancer researchers to Texas | Investment in Core Facilities | A broad range of innovative, investigator-initiated research projects | Prevention and early detection | Computational biology and analytic methods | Childhood Cancers | Cancers of Importance in Texas | Disparities |
|--|-------------------------------|---|--------------------------------|--|-------------------------|--------------------------------|-------------|
| \$25,104,127 10 Awards | | | | \$7,104,127 2 Awards | \$7,104,127 2 Awards | \$6,000,000 2 Awards | |

*Some grants awards address more than one program priority and will be double counted.

Program Priorities



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: JIM WILLSON, MD, CHIEF SCIENTIFIC OFFICER
SUBJECT: ACADEMIC RESEARCH RECRUITMENT AWARD
 RECOMMENDATIONS FY CYCLES 17.7, 17.8 AND 17.9.
DATE: MAY 2, 2017

Summary and Recommendations:

The CPRIT Scientific Review Council (SRC) and the Program Integration Committee (PIC) reviewed and recommend funding 10 Academic Research Recruitment awards totaling \$25,104,127 for FY Cycles: 17.7, 17.8 and 17.9.

The recommendations are presented in three slates corresponding to grant mechanisms.

| Grant Type | | SRC Recommendations |
|------------|---|---------------------|
| 1 | Recruitment of Established Investigators | \$5,104,127 |
| 1 | Recruitment of Rising Stars | \$4,000,000 |
| 8 | Recruitment of First Time -Tenure Track Faculty Members | \$16,000,000 |
| 10 | Total | \$25,104,127 |

Program Priorities Addressed:

The applications proposed to the Program Integration Committee for funding address the following Academic Research Program Priorities: Recruitment of outstanding cancer researchers to Texas, Childhood Cancers, Cancers of Importance in Texas and Computational Biology.

| Program Priorities Addressed by Grant Recommendations | | |
|--|--|--------------|
| # Awards | Program Priorities | Funding |
| 10 | Recruitment of outstanding cancer researchers to Texas | \$25,104,127 |
| 2 | Childhood Cancers | \$7,104,127 |
| 2 | Cancers of Importance in Texas | \$6,000,000 |
| 2 | Computational Biology | \$7,104,127 |
| *Some grants awards address more than one program priority and will be double counted. | | |

1. RECRUITMENT OF ESTABLISHED INVESTIGATORS SLATE FY17.7, 17.8 and 17.9

Peer Review Recommendations

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Purpose of Recruitment of Established Investigators Awards:

The aim is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.

Funding levels for Recruitment of Established Investigators Awards:

Up to \$6 million over a period of 5 years.

Recommended Projects:

One candidate from Rice University is being recommended for an Established Investigator Award. Below is a listing of the candidate with his associated expertise.

RR170026

Candidate: Benjamin Fregly, PhD

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: Rice University

Original Organization of Nominee: University of Florida

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.0**

Recommended Total Budget Award and Duration: \$5,104,127

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas; Computational Biology; Childhood Cancers

Description:

Dr. Fregly is currently a mechanical engineer at the University of Florida with a PhD from Stanford University whose research is focused on biomechanical requirements of pelvic prostheses to restore walking function. He uses computational methods to develop personalized, optimized surgical and rehabilitation processes for patients undergoing treatment of pelvic sarcomas. At Rice he will work with collaborators in the Texas Medical Center (TMC) to develop a center dedicated to preserving the walking function of patients undergoing surgery for osteogenic sarcomas—a cancer that disproportionately affects children and young adults. While osteogenic sarcomas can be cured by surgery and chemotherapy in a significant proportion of patients, the impact on post treatment mobility is exorbitantly high. This proposal is a real attempt to make a better, more durable alternative possible. Rice is particularly well placed to do this work with an outstanding biomechanics program and proximity to clinical collaborators at MD Anderson and Texas Children's Hospital who treat many of patients who will benefit from Dr. Fregly's expertise and the proposed research program.

2. RECRUITMENT OF RISING STARS SLATE

FY17.7, 17.8 and 17.9

Peer Review Recommendations

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Purpose of Recruitment of Rising Stars

Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.

Funding levels for Recruitment of Rising Stars

Up to \$4 million over a period of 5 years.

Recommended Projects:

One candidate from Baylor College of Medicine is being recommended for a Recruitment of a Rising Stars Award. Below is a listing of the candidate with his associated expertise.

RR170040

Candidate: Heinrich Jasper, PhD

Funding Mechanism: Recruitment of Rising Stars

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: Buck Institute for Research on Aging

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.3

Recommended Total Budget Award and Duration: \$4,000,000.

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas; Cancers of Importance in Texas (Lung)

Description:

Dr. Jasper obtained the PhD at the University of Heidelberg in 2002 and then was at the University of Rochester from 2001 to 2012 rising to the rank of Associate Professor. He joined the Buck Institute in California in 2012 as a Professor and is now the Chief Scientific Officer. He is being recruited to Baylor College of Medicine as a tenured Professor. Dr. Jasper has made several major contributions to aging research that is highly relevant to cancer. At Baylor he plans a research program focused on the tumor microenvironment, stem cells and aging. These are all critical concepts in cancer biology and he offers a unique approach with the potential to uncover new understanding of cancer. Of particular interest is his plan to focus on the mechanism whereby age-related changes elevate cancer incidence.

3. RECRUITMENT FIRST-TIME TENURE TRACK FACULTY MEMBERS SLATE FY17.7, 17.8 and 17.9

Peer Review Recommendations

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the candidate and his/her potential for continued superb performance as a cancer researcher, his/her scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

Purpose of First Time Tenure Track Faculty Recruitment

The aim is to recruit and support very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.

Funding levels for First Time Tenure Track Faculty Members Recruitment

Up to \$2 million over a period of 4 years.

Recommended Projects:

Eight (8) candidates are being recommended for Recruitment of First-time Tenure Track Faculty Members Awards:

- 3 at Baylor College of Medicine
- 2 at Rice University
- 1 at Texas Tech University Health Science Center at El Paso
- 2 at University of Texas Southwestern Medical Center

Below is a listing of the candidates with their associated expertise.

RR170023

Candidate: Stephen Mack, PhD

Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: Cleveland Clinic

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.0

Recommended Total Budget Award and Duration: \$2,000,000.

CPRIT Priorities addressed: Recruitment of outstanding cancer researchers to Texas; Childhood Cancers.

Description:

Steven Mack, PhD, is being recruited to Baylor College of Medicine and Texas Children's Medical Center from the Cleveland Clinic. Dr. Mack did his initial training at the University of Toronto where he was recognized by the Canadian Government as being one of Canada's best PhD students. After graduating in 2014, he has trained with Jeremy Rich at the Cleveland Clinic where he has made important contributions to identification of the drivers of brain cancer stem

cells. At Baylor he plans to continue his research to identify novel treatments for ependymomas, a particularly lethal childhood cancer.

RR170039**Candidate: Jihye Yun, PhD****Funding Mechanism:** Recruitment of First Time Tenure Track Faculty Member**Applicant Organization:** Baylor College of Medicine**Original Organization of Nominee:** Weill Cornell Medical College**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.0****Recommended Total Budget Award and Duration:** \$2,000,000.**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Jihye Yun, PhD, is an exceptional young scientist with two landmark papers to her credit on the role of metabolism in the development of human cancer. She obtained her MS in Korea then joined the lab of Bert Vogelstein and received her PhD from Johns Hopkins in 2009. She has trained with Lew Cantley at Cornell since 2010 where she made the discovery that a subset of colon cancers are selectively killed when exposed to high levels of vitamin C. At Baylor her research will continue to focus on the role of metabolism in colon cancer.

RR170030**Candidate: Isaac B Hilton, PhD****Funding Mechanism:** Recruitment of First Time Tenure Track Faculty Member**Applicant Organization:** Rice University**Original Organization of Nominee:** Duke University**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.2****Recommended Total Budget Award and Duration:** \$2,000,000.**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Dr. Hilton is being recruited to the Department of Biomedical Engineering at Rice University to strengthen its program in genomic editing - a type of genetic engineering in which DNA is inserted, deleted or replaced in the genome of a living organism. He completed the PhD in genetics and molecular biology at the University of North Carolina and postdoctoral training in engineering at Duke. At Duke he designed a novel gene editing approach that members of CPRIT's Scientific Review Counsel noted has tantalizing potential for the use in cancer therapy.

RR170033**Candidate: Colleen Skau, PhD****Funding Mechanism:** Recruitment of First Time Tenure Track Faculty Member**Applicant Organization:** The University of Texas Southwestern Medical Center**Original Organization of Nominee:** National Institutes of Health (NIH)**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.3****Recommended Total Budget Award and Duration:** \$2,000,000.**CPRIT Priorities addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Colleen Skau, PhD is being recruited as a First-Time Tenure-Track Assistant Professor in the Department of Physiology at UT Southwestern. Dr. Skau is completing her postdoctoral training at the NIH where she discovered a new actin structure around the nucleus that controls nuclear shape and genome integrity during cell migration and cancer metastasis. She has received a highly competitive NIH K22 Career Transition Award which provides funding for 3 years as an independent investigator following acceptance of a position at a non-NIH institution. Her research program will define molecular mechanisms driving melanoma cell metastasis.

RR170037**Candidate: Chao Lu, PhD****Funding Mechanism:** Recruitment of First Time Tenure Track Faculty Member**Applicant Organization:** The University of Texas Southwestern Medical Center**Original Organization of Nominee:** The Rockefeller University**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.8****Recommended Total Budget Award and Duration:** \$2,000,000.**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Chao Lu, PhD, is being recruited to the Children's Research Institute at UT Southwestern as a First-Time, Tenure-Track Faculty Member. He has established an outstanding publication record as a leader in understanding how changes in the regulation of chromatin (the protein/DNA complex in the cell nucleus) can lead to the development of cancer. As an Assistant Professor in the Children's Research Institute, Dr. Lu will have laboratory space in close proximity to three CPRIT Scholars (Sean Morrison, Hao Zhu, and Jian Xu) as well as a CPRIT-funded leader in cancer metabolism (Ralph DeBerardinis). His proposed research at UT Southwestern will focus on head and neck cancers.

RR170024**Candidate:** Valentina Hoyos Velez, MD**Funding Mechanism:** Recruitment of First Time Tenure Track Faculty Member**Applicant Organization:** Baylor College of Medicine**Original Organization of Nominee:** John Hopkins University**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.2****Recommended Total Budget Award and Duration:** \$2,000,000.**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Dr. Velez received her MD degree in Colombia and completed her residency in Internal Medicine at Baylor. At Baylor she conducted excellent research under Malcolm Brenner on CAR modified T-cells - T cells that are engineered to target a tumor associated antigen. Dr. Brenner places Dr. Velez in the top 2% of his trainees. Currently she is completing training in Medical Oncology at Johns Hopkins. At Baylor Dr. Velez plans to establish an independent research program that integrates her clinical interest in breast cancer with her laboratory research on immunotherapy by targeting tumor antigens and the tumor microenvironment.

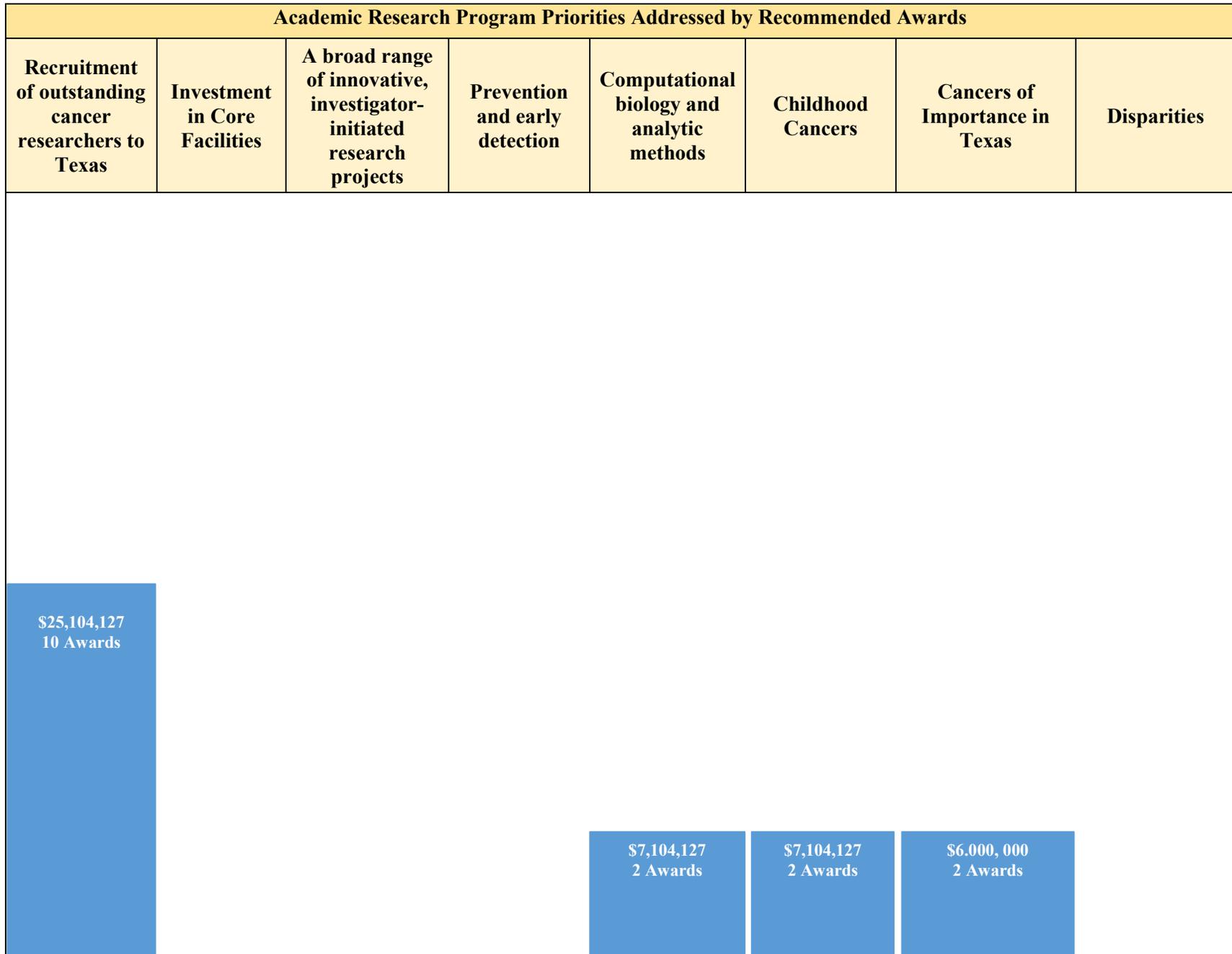
RR170036**Candidate:** H. Courtney Hodges, PhD**Funding Mechanism:** Recruitment of First Time Tenure Track Faculty Member**Applicant Organization:** Baylor College of Medicine**Original Organization of Nominee:** Stanford University School of Medicine**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.3****Recommended Total Budget Award and Duration:** \$2,000,000.**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas, Cancers of Importance in Texas (Lung); Computational Biology.**Description:**

Courtney Hodges, PhD, is being recruited to the Baylor College of Medicine's Center for Precision Environmental Health. He obtained a B.S in Biochemistry at Texas A&M in 2003 and a PhD in 2009 under the guidance of Carlos Bustamante at Berkeley in 2009. Dr. Hodges is currently a Postdoc with Gerry Crabtree at Stanford where he has been since 2010. During his postdoctoral training he contributed to the discovery of a major tumor suppressor named BAF. At Baylor he plans to continue to investigate cancers where the BAF complex is deregulated. CPRIT reviewers noted that Dr. Hodges demonstrates impressive versatility in biophysics and computational analysis of cell and cancer biology. He has a K99 grant from the NCI which can be transferred to Baylor.

RR170020**Candidate: Shrikanth Gadad, PhD****Funding Mechanism:** Recruitment of First Time Tenure Track Faculty Member**Applicant Organization:** Texas Tech University Health Science Center at El Paso**Original Organization of Nominee:** The University of Texas Southwestern Medical Center**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.8****Recommended Total Budget Award and Duration:** \$2,000,000.**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas.**Description:**

Dr. Gadad is being recruited by Texas Tech HSC in El Paso as a First Time Tenure Track Faculty Member from UT Southwestern where is completing his post-doctoral training with CPRIT grantee Lee Kraus. As a graduate student in India (Bangalore) he was very productive. He plans to focus on the possibility that some long non-coding RNAs encode biologically active peptides and their possible roles in breast cancer.

Attachment #1



*Some grants awards address more than one program priority and will be double counted.

Attachment #2
RFA Descriptions



- **Recruitment of Established Investigators (RFA R-17-1 REI):**
Recruits outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.
Award: Up to \$6 million over a period of five years.
- **Recruitment of Rising Stars (RFA R-17-1 RRS)**
Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.
Award: Up to \$4 million over a period of five years.
- **Recruitment of First-Time Tenure Track Faculty Members (RFA R-17-1. RFT):**
Supports very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.
Award: Up to \$2 million over a period of four years.



May 4, 2017

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding ten grant applications totaling \$25,104,127. The PIC recommendations for ten academic research grant awards are attached.

Dr. Jim Willson, CPRIT's Chief Scientific Officer has prepared an overview of the academic research slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary with enough detail to understand the substance of the proposals and the reasons endorsing grant funding. In addition to the full overviews, all of the information considered by the Scientific Review Council is available by clicking on the appropriate link in the portal. This information includes the 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. Vince Burgess, CPRIT's Chief Compliance Officer, will certify that the review process for the recommended grants followed CPRIT's award process prior to any Oversight Committee action.

The award recommendations will not be considered final until the Oversight Committee meeting on May 17, 2017. 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. Willson are always available. Please feel free to contact us directly should you have any questions. The programs that will be supported by the CPRIT awards are an important step in our efforts to mitigate the effects of cancer in Texas. Thank you for being part of this endeavor.

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Award Recommendations –

The PIC unanimously recommends approval of ten academic research grant proposals totaling \$25,104,127. The recommended grant proposals were submitted in response to three grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Rising Stars; and Recruitment of Established Investigators. 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 April 26, 2017.

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

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- 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 that will drive a substantial increase in high-quality jobs, and increase higher education applied science or technology research capabilities; and
- address the goals of the Texas Cancer Plan.

Academic Research Recruitment Grant Award Recommendations

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|-------------|---------------|------------------|------------------|--|---------------|----------------------|
| 1 | RR170023 | Mack, Stephen | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 2 | RR170039 | Yun, Jihye | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 3 | RR170030 | Hilton, Isaac | RFTFM | Rice University | \$2,000,000 | 1.2 |
| 4 | RR170040 | Jasper, Heinrich | RRS | Baylor College of Medicine | \$4,000,000 | 1.3 |
| 5 | RR170033 | Skau, Colleen | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.3 |
| 6 | RR170037 | Lu, Chao | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.8 |
| 7 | RR170026 | Fregly, Benjamin | REI | Rice University | \$5,104,127 | 2.0 |
| 8 | RR170024 | Velez, Valentina | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.2 |
| 9 | RR170036 | Hodges, Courtney | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.3 |
| 10 | RR170020 | Gadad, Shrikanth | RFTFM | Texas Tech University Health Science Center at El Paso | \$2,000,000 | 2.8 |

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – MAY 2017 AWARDS
DATE: MAY 4, 2017

Summary and Recommendation:

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

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

I have conferred with staff at CPRIT and CSRA, International (CSRA), CPRIT’s contracted third-party grants administrator, regarding the academic research 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 above mechanisms recommended by the Program Integration Committee (PIC) followed applicable laws and agency administrative rules. I certify the academic research award recommendations for the Oversight Committee’s consideration.

Background:

CPRIT’s Chief Compliance Officer must report to the Oversight Committee regarding compliance with the 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.” Texas Health & Safety Code § 102.051(c) and (d).

CPRIT uses a compliance pedigree process to formally document compliance for the grant award process. 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 CSRA employees and CPRIT employees. CPRIT relies on CSRA to accurately record a majority of the information on the pedigree from the pre-receipt stage to final

Review Council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by SRA. This is done to minimize the opportunity for error caused by manual data entry.

No Prohibited Donations:

Although CPRIT is statutorily authorized to accept gifts and grants pursuant to Texas Health & Safety Code § 102.054, the statute prohibits CPRIT from awarding a grant to an applicant who has made a gift or grant to CPRIT or a nonprofit organization established to provide support to CPRIT. I note that Texas Health & Safety Code § 102.251(a)(3) specifically addresses "donors from any nonprofit organization established to provide support to the institute compiled from information made available under § 102.262(c)." To the best of my knowledge, there are no nonprofit organizations that have been established to provide support to CPRIT on or after June 14, 2013, the effective date of this statutory change. The only nonprofit organization established to provide support to the Institute was the CPRIT Foundation; however, the CPRIT Foundation ceased operations and changed its name and its purpose prior to June 14, 2013. The institute has received no donations from the CPRIT Foundation made on or after June 14, 2013.

I have reviewed the list of donors to CPRIT maintained by CPRIT (and listed on CPRIT's website) and compared the donors to the list of applicants. No donors to CPRIT have submitted applications for grant awards during the award cycles that are the subject of this report.

Pre-Receipt Compliance:

The activities listed on a compliance pedigree in the pre-receipt stage cover the period beginning with CPRIT's approval and issuance of the Request for Applications (RFA) through the submission of grant applications. For the period covering these RFAs, CPRIT published the RFAs on the Texas.gov eGrants website. 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 requests for extension and may approve an extension for good cause. When a late filing request is approved, the applicant is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Academic Research:

For Cycles 17.7, 17.8, and 17.9, two applications were received for the Recruitment of Established Investigators RFA, two applications were received in response to the Recruitment of Rising Stars

RFA, and 17 applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA. One application was administratively withdrawn prior to Peer Review.

All academic research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS.

Receipt, Referral, and Assignment Compliance:

Once applications have been submitted through CARS, CSRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, CSRA notifies the program officer and the program officer makes the final decision whether to administratively withdraw the application. Recruitment grant applications are assigned to the Scientific Review Council members for peer review. All other academic research, product development research, and prevention applications are assigned by the peer review panel chair to their respective peer review panels. 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.

Academic Research:

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

One application was administratively withdrawn prior to Peer Review.

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.

Academic Research:

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 summary statements and supporting documentation, such as the sign-out sheets, third-party observer reports, 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

conflicts of interest were declared for any of the applications reviewed by the SRC for cycles 17.7, 17.8, and 17.9.

I reviewed and confirmed that the post review conflict of interest statements were signed by the five SRC members that attended the Recruitment Review Panel meeting on March 22, 2017 and by the seven SRC members that attended the Recruitment Review Panel meeting on April 22, 2017.

Programmatic Review:

Programmatic review is conducted by the Scientific Review Council, Prevention Review Council, and Product Development Review Council for their respective awards. Each review council creates a final list of grant applications it will recommend to the PIC for grant award slates.

To the extent that any Review Council member identified a conflict of interest, I reviewed documentation confirming that the review council member did not participate in the discussion or vote on the application(s).

I also reviewed the third-party observer reports for each Review Council meeting. The third-party observer reports document that the Review Council discussions were limited to the merits of the applications and established evaluation criteria and that conflicted reviewers, if applicable, exited the room or the conference call when the application was discussed.

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

Academic Research:

Because recruitment applications are assigned to the SRC, programmatic and peer review occur simultaneously when applications are reviewed by the SRC.

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. At each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In

this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

Program Integration Committee (PIC) Review:

Texas Health & Safety Code § 102.051(d) requires the Chief Compliance Officer to attend and observe the PIC meetings to ensure compliance with CPRIT's statute and administrative rules. CPRIT's statute requires that, at the time the PIC's final Grant Award recommendations are formally submitted to the Oversight Committee, the Chief Executive Officer shall prepare a written affidavit for each Grant Application recommended by the PIC containing relevant information related to the Grant Application recommendations.

I attended the May 2, 2017, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 10 applications; 10 were recommended to move forward to the Oversight Committee. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.

San Diego

**Ludwig Institute for
Cancer Research Ltd**

April 24, 2017

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

Mr. Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcpnit@sidrichardson.org

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

Dear Mr. Geren and Mr. Roberts,

rkolodner@ucsd.edu

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Wednesday, March 22, 2017 and Saturday, April 22, 2017 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 17.7, 17.8 and 17.9.

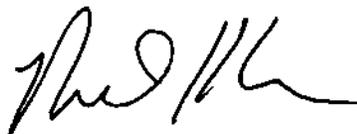
San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

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 scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$25,104,127.

T 858 534 7804
F 858 534 7750

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|----------|------------------|-----------|--|-------------|---------------|
| 1 | RR170023 | Mack, Stephen | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 2 | RR170039 | Yun, Jihye | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 3 | RR170030 | Hilton, Isaac | RFTFM | Rice University | \$2,000,000 | 1.2 |
| 4 | RR170040 | Jasper, Heinrich | RRS | Baylor College of Medicine | \$4,000,000 | 1.3 |
| 5 | RR170033 | Skau, Colleen | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.3 |
| 6 | RR170037 | Lu, Chao | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.8 |
| 7 | RR170026 | Fregly, Benjamin | REI | Rice University | \$5,104,127 | 2.0 |
| 8 | RR170024 | Velez, Valentina | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.2 |
| 9 | RR170036 | Hodges, Courtney | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.3 |
| 10 | RR170020 | Gadad, Shrikanth | RFTFM | Texas Tech University Health Science Center at El Paso | \$2,000,000 | 2.8 |

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycles 17.7 through 17.9
Recruitment of Established Investigators

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-17.1-REI

Recruitment of Established Investigators

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2016**

Application Receipt Dates:

June 21, 2016-June 20, 2017

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 6/21/16 RFA release

Rev 7/21/16 Revised Section 4 – Funding Information and Section 7.2.2- Institutional Commitment- Endowment Equivalents to clarify information regarding institutional matching funds.

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.

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research Program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address the following:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure development.

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract world-class research scientists with distinguished professional careers to Texas universities and cancer research institutes to establish research programs that add research talent to the state. This award will support established academic leaders whose body of work has made an outstanding contribution to cancer 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. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (less than 15,000 new cases per year), including Childhood, Adolescent, and Young Adult Cancers; Population Disparities; and Cancers of Particular Importance in Texas (eg, liver, cervical, and lung).

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. This award honors outstanding senior investigators with proven track records of research accomplishments combined with excellence in leadership and teaching. All candidates should be recognized research or clinical investigators, held in the highest esteem by professional colleagues nationally and internationally, whose contributions have had a significant influence on their discipline and, likely, beyond. They must have clearly established themselves as exemplary faculty members with exceptional accomplishments in teaching and advising and/or basic, translational, population-based, or clinical cancer research activities. It is expected that the candidate will contribute significantly to and have a major impact on the institution's overall cancer research initiative. Candidates will be leaders capable of initiating and developing creative ideas leading to novel solutions related to cancer detection,

diagnosis, and/or treatment. They are also expected to maintain and lead a strong research group and have a stellar, high-impact publication portfolio, as well as continue to secure external funding. Furthermore, recipients will lead and inspire undergraduate and graduate students interested in pursuing research careers and will engage in collegial and collaborative relationships with others within and beyond their traditional discipline in an effort to expand the boundaries of cancer research.

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 should be at the career level of a full professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience as vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria 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 5-year award and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. 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.** No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

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. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own

risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- 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 professor (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.
- 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.
- 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.

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.texas.gov.

6. RESUBMISSION POLICY

Resubmissions will not be accepted for the Recruitment of Established Investigators award mechanism. Any nomination for the Recruitment of Established Investigators 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 throughout FY17. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following

Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **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 (2,500 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 commitment 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: To the extent that the institution's federal indirect cost rate credit specified by chapter 703, section 703.11 does not fulfill the entire institutional match, 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 to which the candidate is being recruited. 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 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 (2,000 characters)

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, 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. 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 review applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications recommended by the 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 to 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 is sent to the nominator.

8.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, PIC 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 PIC member, or a Scientific Review Council member.

Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department 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.

8.3. 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 made significant, transformative, and sustained contributions to basic, translational, clinical or population-based cancer research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

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 expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques? Does the research program integrate with and/or increase collaborative research efforts and relationships at the nominating institution?

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?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research program? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on maintaining and enhancing his or her research program?

9. KEY DATES

RFA

RFA Release

June 21, 2016

Application Receipt and Review Timeline

| Application Receipt System opens 7 AM CT | Application Receipt | Anticipated Application Review | Application Closing Date |
|---|----------------------------|--|---------------------------------|
| June 21, 2016 | Continuous | Monthly by the 15 th day of the month | June 20, 2017 |

10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award.

CPRIT may require, as a condition of receiving a grant award, that the grant 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.cprit.texas.gov.

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.texas.gov.

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 email will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

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

Email: 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

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports

*Cancer Prevention and Research Institute of Texas (CPRIT) Academic
Research Peer Review Observation Report*

Report No. 2017-03-22-REC_17.7-8
Program Name: Academic Research
Panel Name: Recruitment Review Panel 17.7 and 17.8 (REC_17.7-8)

Panel Date: March 22, 2017
Report Date: March 22, 2017

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Recruitment Review Panel 17.7 and 17.8. The meeting was chaired by Richard Kolodner and conducted telephonically on March 22, 2017.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Academic Research Recruitment panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Academic Research Recruitment panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Academic Research Recruitment panel teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the recruitment meeting:

- Four applications were discussed to score applicants for recruitment funding. Two additional applications were tabled for future discussion and were not discussed during this panel; three remaining applications were not discussed because the panel Chairman determined they were not likely to successfully score within CPRIT funding guidelines.
- Participants: five peer review panelists including the Panel Chairperson;
- Three CPRIT staff members and three CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

None of the four applications discussed presented a conflict of interest (COI). A list of all attendees, sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives.

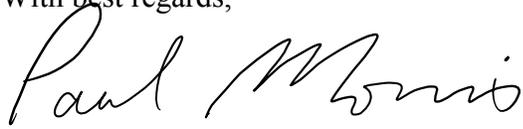
Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. 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, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in black ink that reads "Paul Morris". The signature is written in a cursive, flowing style.

Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
March 22, 2017

cc: Vince Burgess, Chief Compliance Officer

*Cancer Prevention and Research Institute of Texas (CPRIT) Academic
Research Peer Review Observation Report*

Report No. 2017-04-22-REC_17.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel 17.9 (REC_17.9)

Panel Date: April 22, 2017
Report Date: April 22, 2017

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Recruitment Review Panel 17.9. The meeting was chaired by Richard Kolodner and conducted telephonically on April 22, 2017.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Academic Research Recruitment panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Academic Research Recruitment panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Academic Research Recruitment panel teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the recruitment meeting:

- Thirteen applications were discussed to score applicants for recruitment funding;
- Seven peer review panelists participated on the call, including the Panel Chair;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

None of the applications discussed presented a conflict of interest (COI). A list of all attendees, sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. 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, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
April 22, 2017

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 17.7-17.9 Applications
(Academic Research Recruitment Cycle 17.7-17.9 Awards Announced at May 17, 2017,
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 17.7-17.9 include *Recruitment of First-Time, Tenure-Track Faculty Members, Recruitment of Rising Stars, and Recruitment of Established Investigators*. 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/PI | Institution | Conflict Noted |
|--|---------------------|--------------------|-----------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| No conflicts reported. | | | |
| Applications not considered by the PIC or Oversight Committee | | | |
| No conflicts reported. | | | |

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of Established Investigators

Academic Research Recruitment Cycles 17.7-17.9

| Application ID | Final Overall Evaluation Score |
|----------------|--------------------------------|
| RR170026* | 2.0 |
| b | 4.3 |

* = Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

April 24, 2017

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

Mr. Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcpnit@sidrichardson.org

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

Dear Mr. Geren and Mr. Roberts,

rkolodner@ucsd.edu

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Wednesday, March 22, 2017 and Saturday, April 22, 2017 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 17.7, 17.8 and 17.9.

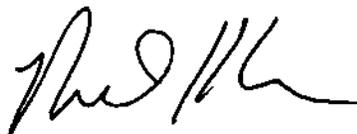
San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

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 scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$25,104,127.

T 858 534 7804
F 858 534 7750

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|----------|------------------|-----------|--|-------------|---------------|
| 1 | RR170023 | Mack, Stephen | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 2 | RR170039 | Yun, Jihye | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 3 | RR170030 | Hilton, Isaac | RFTFM | Rice University | \$2,000,000 | 1.2 |
| 4 | RR170040 | Jasper, Heinrich | RRS | Baylor College of Medicine | \$4,000,000 | 1.3 |
| 5 | RR170033 | Skau, Colleen | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.3 |
| 6 | RR170037 | Lu, Chao | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.8 |
| 7 | RR170026 | Fregly, Benjamin | REI | Rice University | \$5,104,127 | 2.0 |
| 8 | RR170024 | Velez, Valentina | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.2 |
| 9 | RR170036 | Hodges, Courtney | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.3 |
| 10 | RR170020 | Gadad, Shrikanth | RFTFM | Texas Tech University Health Science Center at El Paso | \$2,000,000 | 2.8 |

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

**FY 2017—Cycles 17.7 through 17.9
*Recruitment of First-Time, Tenure-
Track Faculty Members***

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-17.1-RFT

Recruitment of First-Time Tenure Track Faculty Members

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2016**

Application Receipt Dates:

June 21, 2016-June 20, 2017

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 6/21/16 RFA release

Rev 7/21/16 Revised Section 4 – Funding Information; removed information regarding institutional matching funds.

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.

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research Program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address the following:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure development.

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. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (less than 15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities, and Cancers of Particular Importance in Texas (eg, liver, cervical, and lung).

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 and to CPRIT's priority areas are important evaluation criteria 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. 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. No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

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. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position as assistant professor tenure track at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- 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 he or she is 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.
- 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.
- 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.

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.cpriti.texas.gov.

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 throughout FY17. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following

month. **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 commitment 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 to which the candidate is being recruited. 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 (2,000 characters)

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 review applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications recommended by the 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 to 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 is 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, PIC 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 PIC member, or a Scientific Review Council member.

Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department 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?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research? Is there evidence of strong institutional support?

Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on growing his or her research? Has the institution identified a mentor who will design and execute a faculty career development plan for the candidate?

9. KEY DATES

RFA

RFA Release June 21, 2016

Application Receipt and Review Timeline

| Application Receipt System opens 7 AM CT | Application Receipt | Anticipated Application Review | Application Closing Date |
|---|---------------------|--|--------------------------|
| June 21, 2016 | Continuous | Monthly by the 15 th day of the month | June 20, 2017 |

10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant 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.cprit.texas.gov.

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.texas.gov.

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 email will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

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

Email: 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

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports

*Cancer Prevention and Research Institute of Texas (CPRIT) Academic
Research Peer Review Observation Report*

Report No. 2017-03-22-REC_17.7-8
Program Name: Academic Research
Panel Name: Recruitment Review Panel 17.7 and 17.8 (REC_17.7-8)

Panel Date: March 22, 2017
Report Date: March 22, 2017

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Recruitment Review Panel 17.7 and 17.8. The meeting was chaired by Richard Kolodner and conducted telephonically on March 22, 2017.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Academic Research Recruitment panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Academic Research Recruitment panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Academic Research Recruitment panel teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the recruitment meeting:

- Four applications were discussed to score applicants for recruitment funding. Two additional applications were tabled for future discussion and were not discussed during this panel; three remaining applications were not discussed because the panel Chairman determined they were not likely to successfully score within CPRIT funding guidelines.
- Participants: five peer review panelists including the Panel Chairperson;
- Three CPRIT staff members and three CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

None of the four applications discussed presented a conflict of interest (COI). A list of all attendees, sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives.

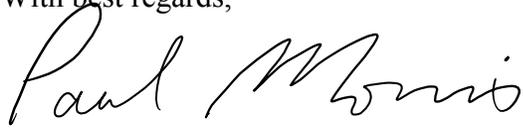
Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. 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, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in black ink that reads "Paul Morris". The signature is written in a cursive, flowing style.

Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
March 22, 2017

cc: Vince Burgess, Chief Compliance Officer

*Cancer Prevention and Research Institute of Texas (CPRIT) Academic
Research Peer Review Observation Report*

Report No. 2017-04-22-REC_17.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel 17.9 (REC_17.9)

Panel Date: April 22, 2017
Report Date: April 22, 2017

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Recruitment Review Panel 17.9. The meeting was chaired by Richard Kolodner and conducted telephonically on April 22, 2017.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Academic Research Recruitment panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Academic Research Recruitment panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Academic Research Recruitment panel teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the recruitment meeting:

- Thirteen applications were discussed to score applicants for recruitment funding;
- Seven peer review panelists participated on the call, including the Panel Chair;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

None of the applications discussed presented a conflict of interest (COI). A list of all attendees, sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. 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, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
April 22, 2017

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 17.7-17.9 Applications
(Academic Research Recruitment Cycle 17.7-17.9 Awards Announced at May 17, 2017,
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 17.7-17.9 include *Recruitment of First-Time, Tenure-Track Faculty Members, Recruitment of Rising Stars, and Recruitment of Established Investigators*. 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/PI | Institution | Conflict Noted |
|--|---------------------|--------------------|-----------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| No conflicts reported. | | | |
| Applications not considered by the PIC or Oversight Committee | | | |
| No conflicts reported. | | | |

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 17.7-17.9

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. At each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

| Application ID | Final Overall Evaluation Score |
|----------------|--------------------------------|
| RR170023* | 1.0 |
| RR170039* | 1.0 |
| RR170030* | 1.2 |
| RR170033* | 1.3 |
| RR170037* | 1.8 |
| RR170024* | 2.2 |
| RR170036* | 2.3 |
| aa | 2.7 |
| RR170020* | 2.8 |
| ab | 2.8 |
| ac | 3.2 |
| ad | 3.2 |
| ae | 3.3 |
| af | 4.0 |
| ag | 4.0 |
| ah | 4.7 |

* = Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

April 24, 2017

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

Mr. Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcpnit@sidrichardson.org

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

Dear Mr. Geren and Mr. Roberts,

rkolodner@ucsd.edu

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Wednesday, March 22, 2017 and Saturday, April 22, 2017 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 17.7, 17.8 and 17.9.

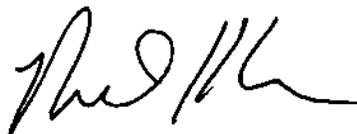
San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

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 scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$25,104,127.

T 858 534 7804
F 858 534 7750

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|----------|------------------|-----------|--|-------------|---------------|
| 1 | RR170023 | Mack, Stephen | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 2 | RR170039 | Yun, Jihye | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 3 | RR170030 | Hilton, Isaac | RFTFM | Rice University | \$2,000,000 | 1.2 |
| 4 | RR170040 | Jasper, Heinrich | RRS | Baylor College of Medicine | \$4,000,000 | 1.3 |
| 5 | RR170033 | Skau, Colleen | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.3 |
| 6 | RR170037 | Lu, Chao | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.8 |
| 7 | RR170026 | Fregly, Benjamin | REI | Rice University | \$5,104,127 | 2.0 |
| 8 | RR170024 | Velez, Valentina | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.2 |
| 9 | RR170036 | Hodges, Courtney | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.3 |
| 10 | RR170020 | Gadad, Shrikanth | RFTFM | Texas Tech University Health Science Center at El Paso | \$2,000,000 | 2.8 |

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2017—Cycles 17.7 through 17.9
Recruitment of Rising Stars

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-17.1-RRS

Recruitment of Rising Stars

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2016**

Application Receipt Dates:

June 21, 2016-June 20, 2017

FY 2017

Fiscal Year Award Period

September 1, 2016-August 31, 2017

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RFA VERSION HISTORY

Rev 6/21/16 RFA release

Rev 7/21/16 Revised Section 4 – Funding Information and Section 7.2.2- Institutional Commitment- Endowment Equivalents to clarify information regarding institutional matching funds.

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.

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research Program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address the following:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure development.

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. However, special consideration will be given to candidates with research programs addressing CPRIT’s priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (less than 15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers, Population Disparities, and Cancers of Particular Importance in Texas (eg, liver, cervical, and lung).

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. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria 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 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. . No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this RFA during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31) or in the first quarter of the next fiscal year (starting September 1).

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. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- 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.
- 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.
- 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.

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.texas.gov.

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 throughout FY17. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **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 commitment 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: To the extent that the institution's federal indirect cost rate credit specified by chapter 703, section 703.11 does not fulfill the entire institutional match, 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 to which the candidate is being recruited. 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 (2,000 characters)

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, 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. 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 review applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment.

Applications recommended by the 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 to 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 is 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, PIC 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 PIC member, or a Scientific Review Council member.

Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department 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?

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 it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques?

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?

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate’s research? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on maintaining and enhancing his or her research program? Will the candidate be provided with adequate professional development opportunities to grow as a leader?

9. KEY DATES

RFA

RFA Release June 21, 2016

Application Receipt and Review Timeline

| Application Receipt System opens 7 AM CT | Application Receipt | Anticipated Application Review | Application Closing Date |
|---|---------------------|--|--------------------------|
| June 21, 2016 | Continuous | Monthly by the 15 th day of the month | June 20, 2017 |

10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for

a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant 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.cprit.texas.gov. 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.texas.gov.

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 email will be answered within 1 business day. HelpDesk staff members are not in a position to answer questions regarding scientific aspects of applications.

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

Email: 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

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports

*Cancer Prevention and Research Institute of Texas (CPRIT) Academic
Research Peer Review Observation Report*

Report No. 2017-03-22-REC_17.7-8
Program Name: Academic Research
Panel Name: Recruitment Review Panel 17.7 and 17.8 (REC_17.7-8)

Panel Date: March 22, 2017
Report Date: March 22, 2017

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Recruitment Review Panel 17.7 and 17.8. The meeting was chaired by Richard Kolodner and conducted telephonically on March 22, 2017.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Academic Research Recruitment panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Academic Research Recruitment panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Academic Research Recruitment panel teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the recruitment meeting:

- Four applications were discussed to score applicants for recruitment funding. Two additional applications were tabled for future discussion and were not discussed during this panel; three remaining applications were not discussed because the panel Chairman determined they were not likely to successfully score within CPRIT funding guidelines.
- Participants: five peer review panelists including the Panel Chairperson;
- Three CPRIT staff members and three CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

None of the four applications discussed presented a conflict of interest (COI). A list of all attendees, sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives.

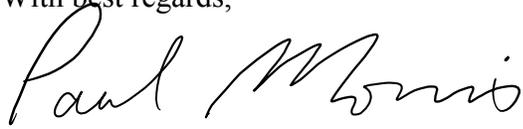
Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. 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, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in black ink that reads "Paul Morris". The signature is written in a cursive, flowing style.

Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
March 22, 2017

cc: Vince Burgess, Chief Compliance Officer

*Cancer Prevention and Research Institute of Texas (CPRIT) Academic
Research Peer Review Observation Report*

Report No. 2017-04-22-REC_17.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel 17.9 (REC_17.9)

Panel Date: April 22, 2017
Report Date: April 22, 2017

Background

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure that panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer. CPRIT engaged Business and Financial Management Solutions, LLC (BFS) as third-party observer as of December, 2016.

Introduction

The subject of this report is the CPRIT Recruitment Review Panel 17.9. The meeting was chaired by Richard Kolodner and conducted telephonically on April 22, 2017.

Panel Observation Objectives and Scope

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information when asked by Academic Research Recruitment panel members or CSRA staff;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The Academic Research Recruitment panel discussion is focused on the established scoring criteria and/or making recommendations.

Summary of Observation Results

Two BFS independent observers participated in the Academic Research Recruitment panel teleconference. CSRA, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the recruitment meeting:

- Thirteen applications were discussed to score applicants for recruitment funding;
- Seven peer review panelists participated on the call, including the Panel Chair;
- Two CPRIT staff members and two CSRA employees participated in the meeting;
- CPRIT staff participation was limited to reviewing and clarifying policies, and answering procedural questions;
- CSRA staff did not participate in the discussions around the merits of the applications;
- The panelists' discussions were limited to the evaluation criteria.

None of the applications discussed presented a conflict of interest (COI). A list of all attendees, sign in log, and informational materials were provided by CSRA staff to aid in the observation of these objectives.

Conclusion

In conclusion; we observed that the activities of the Academic Research Recruitment review panel were limited to the identified objectives noted earlier in this report.

Third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussion of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. 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, its management and its Oversight Committee members. This report is not intended to be, and should not be used by anyone other than these specified parties.

With best regards,



Paul Morris, CPA, CIA
Vice President Compliance and Advisory Services
Business and Financial Management Solutions, LLC
April 22, 2017

cc: Vince Burgess, Chief Compliance Officer

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment Cycle 17.7-17.9 Applications
(Academic Research Recruitment Cycle 17.7-17.9 Awards Announced at May 17, 2017,
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 17.7-17.9 include *Recruitment of First-Time, Tenure-Track Faculty Members, Recruitment of Rising Stars, and Recruitment of Established Investigators*. 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/PI | Institution | Conflict Noted |
|--|---------------------|--------------------|-----------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| No conflicts reported. | | | |
| Applications not considered by the PIC or Oversight Committee | | | |
| No conflicts reported. | | | |

* = Not discussed

De-Identified Overall Evaluation Scores

Recruitment of Rising Stars

Academic Research Recruitment Cycles 17.7-17.9

| Application ID | Final Overall Evaluation Score |
|----------------|--------------------------------|
| RR170040* | 1.3 |
| a | 4.0 |

* = Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

April 24, 2017

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

Mr. Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcpnit@sidrichardson.org

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

Distinguished Professor of
Cellular & Molecular
Medicine, University of
California San Diego School
of Medicine

Dear Mr. Geren and Mr. Roberts,

rkolodner@ucsd.edu

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on Wednesday, March 22, 2017 and Saturday, April 22, 2017 to consider the applications submitted to CPRIT under the Recruitment for First-Time Tenure Track Faculty Members, Recruitment of Rising Stars and Recruitment of Established Investigators requests for applications for Recruitment Cycle REC 17.7, 17.8 and 17.9.

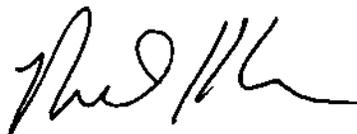
San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC 0669
La Jolla, CA 92093-0669

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 scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$25,104,127.

T 858 534 7804
F 858 534 7750

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|----------|------------------|-----------|--|-------------|---------------|
| 1 | RR170023 | Mack, Stephen | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 2 | RR170039 | Yun, Jihye | RFTFM | Baylor College of Medicine | \$2,000,000 | 1.0 |
| 3 | RR170030 | Hilton, Isaac | RFTFM | Rice University | \$2,000,000 | 1.2 |
| 4 | RR170040 | Jasper, Heinrich | RRS | Baylor College of Medicine | \$4,000,000 | 1.3 |
| 5 | RR170033 | Skau, Colleen | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.3 |
| 6 | RR170037 | Lu, Chao | RFTFM | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.8 |
| 7 | RR170026 | Fregly, Benjamin | REI | Rice University | \$5,104,127 | 2.0 |
| 8 | RR170024 | Velez, Valentina | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.2 |
| 9 | RR170036 | Hodges, Courtney | RFTFM | Baylor College of Medicine | \$2,000,000 | 2.3 |
| 10 | RR170020 | Gadad, Shrikanth | RFTFM | Texas Tech University Health Science Center at El Paso | \$2,000,000 | 2.8 |

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars

RFTFM: Recruitment of First-Time Tenure Track Faculty Members



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170020
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Shrikanth Gadad, Ph.D.

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 for Applications (RFA)*. CPRIT received 17 applications for cycles 17.7 through 17.9 in response to this RFA, including one application that was withdrawn. This 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

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that at each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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



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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
CYCLE 7
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170020
APPLICATION TITLE Nomination of Dr. Shrikanth Gadad for CPRIT First-Time, Tenure-Track Faculty Member
NOMINATOR NAME Rotwein, Peter
CANDIDATE NAME Gadad, Shrikanth
ORGANIZATION Texas Tech University Health Sciences Center at El Paso
PANEL NAME Recruitment FY17 Cycle 7 and 8 (REC 17.7-8)

| Category | Compliance Requirement | Information | Attestation Date |
|--------------------------------------|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/25/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/25/17 |
| | CPRIT Application Receipt Cycle opened | 12/21/16 | 04/12/17 |
| | CPRIT Application Receipt Cycle closed | 01/20/17 | 04/12/17 |
| | Date application submitted | 01/19/17 | 04/12/17 |
| | Method of submission | CARS | 04/12/17 |
| | Within receipt period | YES | 04/12/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/12/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/12/17 |
| | Assigned to primary reviewers | 03/15/17 | 04/12/17 |
| | Applicant notified of review panel assignment | N/A | 04/12/17 |
| | Primary Reviewer 1 COI signed | 03/03/17 | 04/12/17 |
| | Primary Reviewer 2 COI signed | 03/03/17 | 04/12/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 03/17/17 | 04/12/17 |
| | Primary Reviewer 2 critique submitted | 03/20/17 | 04/12/17 |
| | COI indicated by non-primary reviewer | NONE | 04/12/17 |
| | COI recused from participation | N/A | 04/12/17 |
| | Discussed at Peer Review Meeting | YES | 04/12/17 |
| | Peer Review Meeting | 03/22/17 | 04/12/17 |
| | Post review statements signed | 03/28/17 | 04/12/17 |
| | Third Party Observer Report | 03/22/17 | 04/12/17 |
| | Score report delivered to CSO | 03/22/17 | 04/12/17 |
| | Recommended for SRC Review | YES | 04/12/17 |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/12/17 |
| | COI recused from participation | N/A | 04/12/17 |
| | SRC Meeting | 03/22/17 | 04/12/17 |
| | Third Party Observer Report | 03/22/17 | 04/12/17 |
| | Recommended for grant award | YES | 04/12/17 |
| | SRC Chair Notification to PIC and OC | 04/26/17 | 04/26/17 |
| 5. PIC Review | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| | Advance authority approved by Oversight Committee | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170023
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Stephen Mack, Ph.D.

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 for Applications (RFA)*. CPRIT received 17 applications for cycles 17.7 through 17.9 in response to this RFA, including one application that was withdrawn. This 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

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that at each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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



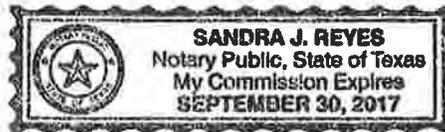
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
CYCLE 8
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170023
APPLICATION TITLE First Time, Tenure Track Recruit: Stephen Mack
NOMINATOR NAME Kuspa, Adam
CANDIDATE NAME Mack, Stephen
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY17 Cycle 7 and 8 (REC 17.7-8)

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/25/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/25/17 |
| | CPRIT Application Receipt Cycle opened | 01/21/17 | 04/21/17 |
| | CPRIT Application Receipt Cycle closed | 02/20/17 | 04/21/17 |
| | Date application submitted | 02/20/17 | 04/21/17 |
| | Method of submission | CARS | 04/21/17 |
| | Within receipt period | YES | 04/21/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/21/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/21/17 |
| | Assigned to primary reviewers | 03/15/17 | 04/21/17 |
| | Applicant notified of review panel assignment | N/A | 04/21/17 |
| | Primary Reviewer 1 COI signed | 03/03/17 | 04/21/17 |
| | Primary Reviewer 2 COI signed | 03/03/17 | 04/21/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 03/17/17 | 04/21/17 |
| | Primary Reviewer 2 critique submitted | 03/20/17 | 04/21/17 |
| | COI indicated by non-primary reviewer | NONE | 04/21/17 |
| | COI recused from participation | N/A | 04/21/17 |
| | Discussed at Peer Review Meeting | YES | 04/21/17 |
| | Peer Review Meeting | 03/22/17 | 04/21/17 |
| | Post review statements signed | 03/28/17 | 04/21/17 |
| | Third Party Observer Report | 03/22/17 | 04/21/17 |
| | Score report delivered to CSO | 03/22/17 | 04/21/17 |
| | Recommended for SRC Review | YES | 04/21/17 |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/21/17 |
| | COI recused from participation | N/A | 04/21/17 |
| | SRC Meeting | 03/22/17 | 04/21/17 |
| | Third Party Observer Report | 03/22/17 | 04/21/17 |
| | Recommended for grant award | YES | 04/21/17 |
| | SRC Chair Notification to PIC and OC | 04/26/17 | 04/26/17 |
| 5. PIC Review | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| Advance authority approved by Oversight Committee | | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170024
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Valentina Hoyos Velez, M.D.

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 for Applications (RFA)*. CPRIT received 17 applications for cycles 17.7 through 17.9 in response to this RFA, including one application that was withdrawn. This 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

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that at each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

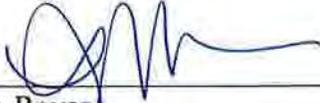
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



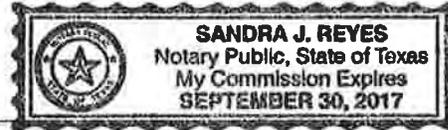
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2017
 CYCLE 8
 PROGRAM Academic Research
 AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
 APPLICATION ID RR170024
 APPLICATION TITLE First Time, Tenure Track Recruit: Valentina Hoyos Velez
 NOMINATOR NAME Kuspa, Adam
 CANDIDATE NAME Hoyos Velez, Valentina
 ORGANIZATION Baylor College of Medicine
 PANEL NAME Recruitment FY17 Cycle 7 and 8 (REC 17.7-8)
****Discussed at 17.9 meeting****

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
| | CPRIT Application Receipt Cycle opened | 01/21/17 | 04/12/17 |
| | CPRIT Application Receipt Cycle closed | 02/20/17 | 04/12/17 |
| | Date application submitted | 02/20/17 | 04/12/17 |
| | Method of submission | CARS | 04/12/17 |
| | Within receipt period | YES | 04/12/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/12/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/12/17 |
| | Assigned to primary reviewers | 03/15/17 | 04/12/17 |
| | Applicant notified of review panel assignment | N/A | 04/12/17 |
| | Primary Reviewer 1 COI signed | 03/03/17 | 04/12/17 |
| | Primary Reviewer 2 COI signed | 03/03/17 | 04/12/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 03/20/17 | 04/12/17 |
| | Primary Reviewer 2 critique submitted | 03/18/17 | 04/12/17 |
| | COI indicated by non-primary reviewer | NONE | 04/12/17 |
| | COI recused from participation | N/A | 04/12/17 |
| | Discussed at Peer Review Meeting | YES | 04/12/17 |
| | Peer Review Meeting | 04/22/17 | 04/12/17 |
| | Post review statements signed | 04/25/17 | 04/12/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Score report delivered to CSO | 04/27/17 | 04/27/17 |
| Recommended for SRC Review | YES | 04/27/17 | |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/27/17 |
| | COI recused from participation | N/A | 04/27/17 |
| | SRC Meeting | 04/22/17 | 04/27/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/27/17 |
| | SRC Chair Notification to PIC and OC | 04/26/17 | 04/27/17 |
| 5. PIC Review | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| Advance authority approved by Oversight Committee | | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170026
Recruitment of Established Investigators
Nomination of Benjamin Fregly, Ph.D.

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).

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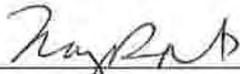
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I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was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



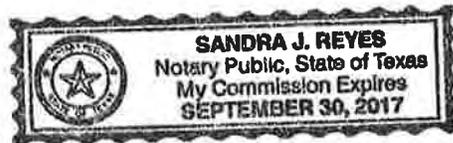
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2017
CYCLE 8
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR170026
APPLICATION TITLE Recruitment of Benjamin Fregly, Established Investigator
NOMINATOR NAME Thomas, Edwin
CANDIDATE NAME Fregly, Benjamin
ORGANIZATION Rice University
PANEL NAME Recruitment FY17 Cycle 7 and 8 (REC 17.7-8)
****Discussed at 17.9 meeting****

| Category | Compliance Requirement | Information | Attestation Date |
|---|---|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
| | CPRIT Application Receipt Cycle opened | 01/21/17 | 04/12/17 |
| | CPRIT Application Receipt Cycle closed | 02/20/17 | 04/12/17 |
| | Date application submitted | 02/20/17 | 04/12/17 |
| | Method of submission | CARS | 04/12/17 |
| | Within receipt period | YES | 04/12/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/12/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/12/17 |
| | Assigned to primary reviewers | 03/15/17 | 04/12/17 |
| | Applicant notified of review panel assignment | N/A | 04/12/17 |
| | Primary Reviewer 1 COI signed | 03/03/17 | 04/12/17 |
| | Primary Reviewer 2 COI signed | 03/03/17 | 04/12/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 03/21/17 | 04/12/17 |
| | Primary Reviewer 2 critique submitted | 03/20/17 | 04/12/17 |
| | COI indicated by non-primary reviewer | NONE | 04/27/17 |
| | COI recused from participation | N/A | 04/27/17 |
| | Discussed at Peer Review Meeting | YES | 04/27/17 |
| | Peer Review Meeting | 04/22/17 | 04/27/17 |
| | Post review statements signed | 04/25/17 | 04/27/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Score report delivered to CSO | 04/27/17 | 04/27/17 |
| Recommended for SRC Review | YES | 04/27/17 | |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/27/17 |
| | COI recused from participation | N/A | 04/27/17 |
| | SRC Meeting | 04/22/17 | 04/27/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/27/17 |
| | SRC Chair Notification to PIC and OC | 04/26/17 | 04/27/17 |
| 5. PIC Review | Candidate not accepted position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| Advance authority approved by Oversight Committee | | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170030
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Isaac Hilton, Ph.D.

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 for Applications* (RFA). CPRIT received 17 applications for cycles 17.7 through 17.9 in response to this RFA, including one application that was withdrawn. This 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

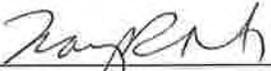
-
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that at each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

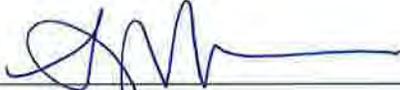
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



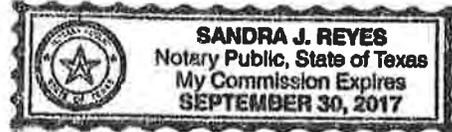
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

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the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2017
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170030
APPLICATION TITLE Recruitment of First-Time, Tenure-Track Faculty Member - Dr. Isaac Hilton
NOMINATOR NAME Thomas, Edwin L
CANDIDATE NAME Isaac Hilton
ORGANIZATION Rice University
PANEL NAME Recruitment FY17 Cycle 9 (REC 17.9)

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
| | CPRIT Application Receipt Cycle opened | 02/21/17 | 04/26/17 |
| | CPRIT Application Receipt Cycle closed | 03/20/17 | 04/26/17 |
| | Date application submitted | 03/20/17 | 04/26/17 |
| | Method of submission | CARS | 04/26/17 |
| | Within receipt period | YES | 04/26/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | 03/30/17 | 04/26/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/26/17 |
| | Assigned to primary reviewers | 04/14/17 | 04/26/17 |
| | Applicant notified of review panel assignment | N/A | 04/26/17 |
| | Primary Reviewer 1 COI signed | 04/07/17 | 04/26/17 |
| | Primary Reviewer 2 COI signed | 04/08/17 | 04/26/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/21/17 | 04/26/17 |
| | Primary Reviewer 2 critique submitted | 04/20/17 | 04/26/17 |
| | COI indicated by non-primary reviewer | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | Discussed at Peer Review Meeting | YES | 04/26/17 |
| | Peer Review Meeting | 04/22/17 | 04/26/17 |
| | Post review statements signed | 04/25/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Score report delivered to CSO | 04/27/17 | 04/27/17 |
| Recommended for SRC Review | YES | 04/26/17 | |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | SRC Meeting | 04/22/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/26/17 |
| | SRC Chair Notification to PIC and OC | 04/26/17 | 04/27/17 |
| 5. PIC Review | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| Advance authority approved by Oversight Committee | | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170033
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Colleen T. Skau, Ph.D.

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 for Applications* (RFA). CPRIT received 17 applications for cycles 17.7 through 17.9 in response to this RFA, including one application that was withdrawn. This 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

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that at each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

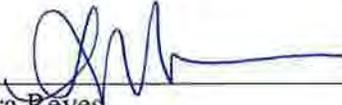
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2017
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170033
APPLICATION TITLE Nomination of Colleen T. Skau, Ph.D. for a CPRIT First-Time, Tenure Track Faculty Member Award
NOMINATOR NAME Fitz, John G
CANDIDATE NAME Colleen Skau
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY17 Cycle 9 (REC 17.9)

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
| | CPRIT Application Receipt Cycle opened | 02/21/17 | 04/26/17 |
| | CPRIT Application Receipt Cycle closed | 03/20/17 | 04/26/17 |
| | Date application submitted | 03/17/17 | 04/26/17 |
| | Method of submission | CARS | 04/26/17 |
| | Within receipt period | YES | 04/26/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/26/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/26/17 |
| | Assigned to primary reviewers | 04/14/17 | 04/26/17 |
| | Applicant notified of review panel assignment | N/A | 04/26/17 |
| | Primary Reviewer 1 COI signed | 04/14/17 | 04/26/17 |
| | Primary Reviewer 2 COI signed | 04/11/17 | 04/26/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/19/17 | 04/26/17 |
| | Primary Reviewer 2 critique submitted | 04/20/17 | 04/26/17 |
| | COI indicated by non-primary reviewer | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | Discussed at Peer Review Meeting | YES | 04/26/17 |
| | Peer Review Meeting | 04/22/17 | 04/26/17 |
| | Post review statements signed | 04/25/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Score report delivered to CSO | 04/27/17 | 04/27/17 |
| | Recommended for SRC Review | YES | 04/26/17 |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | SRC Meeting | 04/22/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/26/17 |
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| 5. PIC Review | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
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| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| | Advance authority approved by Oversight Committee | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170036
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of H. Courtney Hodges, Ph.D.

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).

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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."



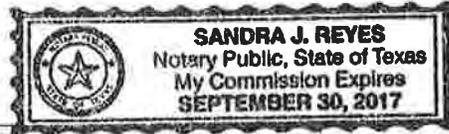
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CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

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the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2017
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170036
APPLICATION TITLE First Time Tenure-Track: H. Courtney Hodges, Ph.D.
NOMINATOR NAME Kuspa, Adam
CANDIDATE NAME Hamilton Hodges
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY17 Cycle 9 (REC 17.9)

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
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| | Primary Reviewer 2 COI signed | 04/10/17 | 04/26/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/20/17 | 04/26/17 |
| | Primary Reviewer 2 critique submitted | 04/16/17 | 04/26/17 |
| | COI indicated by non-primary reviewer | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | Discussed at Peer Review Meeting | YES | 04/26/17 |
| | Peer Review Meeting | 04/22/17 | 04/26/17 |
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| | COI recused from participation | N/A | 04/26/17 |
| | SRC Meeting | 04/22/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/26/17 |
| 5. PIC Review | SRC Chair Notification to PIC and OC | 04/26/17 | 04/27/17 |
| | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| 6. Oversight Committee Approval | Recommended for grant award | YES | 05/02/17 |
| | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| Advance authority approved by Oversight Committee | | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170037
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Chao Lu, Ph.D.

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 for Applications (RFA)*. CPRIT received 17 applications for cycles 17.7 through 17.9 in response to this RFA, including one application that was withdrawn. This 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

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that at each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

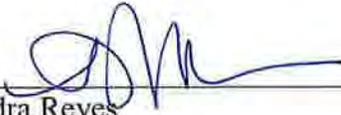
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

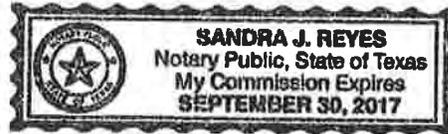


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2017
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170037
APPLICATION TITLE Nomination of Chao Lu, Ph.D. for a CPRIT First-Time, Tenure-Track Faculty Member Award
NOMINATOR NAME Fitz, John G
CANDIDATE NAME Chao Lu
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY17 Cycle 9 (REC 17.9)

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
| | CPRIT Application Receipt Cycle opened | 02/21/17 | 04/26/17 |
| | CPRIT Application Receipt Cycle closed | 03/20/17 | 04/26/17 |
| | Date application submitted | 03/15/17 | 04/26/17 |
| | Method of submission | CARS | 04/26/17 |
| | Within receipt period | YES | 04/26/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/26/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/26/17 |
| | Assigned to primary reviewers | 04/14/17 | 04/26/17 |
| | Applicant notified of review panel assignment | N/A | 04/26/17 |
| | Primary Reviewer 1 COI signed | 04/07/17 | 04/26/17 |
| | Primary Reviewer 2 COI signed | 04/14/17 | 04/26/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/21/17 | 04/26/17 |
| | Primary Reviewer 2 critique submitted | 04/20/17 | 04/26/17 |
| | COI indicated by non-primary reviewer | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | Discussed at Peer Review Meeting | YES | 04/26/17 |
| | Peer Review Meeting | 04/22/17 | 04/26/17 |
| | Post review statements signed | 04/25/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Score report delivered to CSO | 04/27/17 | 04/27/17 |
| Recommended for SRC Review | YES | 04/26/17 | |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | SRC Meeting | 04/22/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/26/17 |
| | SRC Chair Notification to PIC and OC | 04/26/17 | 04/27/17 |
| 5. PIC Review | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| Advance authority approved by Oversight Committee | | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170039
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Jihye Yun, Ph.D.

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 for Applications (RFA)*. CPRIT received 17 applications for cycles 17.7 through 17.9 in response to this RFA, including one application that was withdrawn. This 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

Some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. The Scientific Review Council (SRC) met twice (March 22, 2017, and April 22, 2017) to review and recommend awards for this cycle. The comprehensive list of de-identified application scores compiles the information from the two, different SRC meeting dates into a single list. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that at each meeting date, the SRC set different cut off scores for which applications would be recommended for funding.

An application's score establishes its position relative to other applications reviewed during its assigned meeting date, but not relative to any other meeting date. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each SRC meeting, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

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

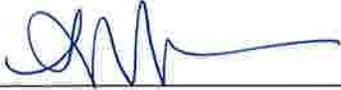


Wayne R. Roberts,

CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2017
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR170039
APPLICATION TITLE First Time Tenure Track: Jihye Yun, Ph.D.
NOMINATOR NAME Kuspa, Adam
CANDIDATE NAME Jihye Yun
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY17 Cycle 9 (REC 17.9)

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
| | CPRIT Application Receipt Cycle opened | 02/21/17 | 04/26/17 |
| | CPRIT Application Receipt Cycle closed | 03/20/17 | 04/26/17 |
| | Date application submitted | 03/20/17 | 04/26/17 |
| | Method of submission | CARS | 04/26/17 |
| | Within receipt period | YES | 04/26/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/26/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/26/17 |
| | Assigned to primary reviewers | 04/14/17 | 04/26/17 |
| | Applicant notified of review panel assignment | N/A | 04/26/17 |
| | Primary Reviewer 1 COI signed | 04/10/17 | 04/26/17 |
| | Primary Reviewer 2 COI signed | 04/08/17 | 04/26/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/16/17 | 04/26/17 |
| | Primary Reviewer 2 critique submitted | 04/20/17 | 04/26/17 |
| | COI indicated by non-primary reviewer | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | Discussed at Peer Review Meeting | YES | 04/26/17 |
| | Peer Review Meeting | 04/22/17 | 04/26/17 |
| | Post review statements signed | 04/25/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Score report delivered to CSO | 04/27/17 | 04/27/17 |
| 4. Final SRC Recommendation | Recommended for SRC Review | YES | 04/26/17 |
| | COI indicated by SRC member | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | SRC Meeting | 04/22/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/26/17 |
| 5. PIC Review | SRC Chair Notification to PIC and OC | 04/26/17 | 04/27/17 |
| | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| 6. Oversight Committee Approval | Recommended for grant award | YES | 05/02/17 |
| | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| Advance authority approved by Oversight Committee | | | |

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR170040
Recruitment of Rising Stars
Nomination of Heinrich Jasper, Ph.D.

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 cycles 17.7 through 17.9 in response to this RFA. This 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.

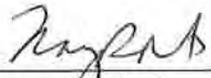
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 the following PIC members have approved conflict of interest waivers on file for FY2017: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2017 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

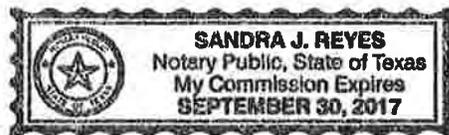
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 2nd day of May, 2017,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2017
CYCLE 9
PROGRAM Academic Research
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR170040
APPLICATION TITLE Rising Star: Heinrich Jasper, Ph.D.
NOMINATOR NAME Kuspa, Adam
CANDIDATE NAME Heinrich Jasper
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY17 Cycle 9 (REC 17.9)

| Category | Compliance Requirement | Information | Attestation Date |
|--------------------------------------|---|-------------|------------------|
| 1. Pre-Receipt | RFA Approved by CSO | 06/16/16 | 04/27/17 |
| | RFA published in Texas.gov eGrants | 06/29/16 | 04/27/17 |
| | CPRIT Application Receipt Cycle opened | 02/21/17 | 04/26/17 |
| | CPRIT Application Receipt Cycle closed | 03/20/17 | 04/26/17 |
| | Date application submitted | 03/20/17 | 04/26/17 |
| | Method of submission | CARS | 04/26/17 |
| | Within receipt period | YES | 04/26/17 |
| 2. Receipt, Referral, and Assignment | Administrative review notification | N/A | 04/26/17 |
| | Donation(s) made to CPRIT/foundation | NO | 04/26/17 |
| | Assigned to primary reviewers | 04/14/17 | 04/26/17 |
| | Applicant notified of review panel assignment | N/A | 04/26/17 |
| | Primary Reviewer 1 COI signed | 04/07/17 | 04/26/17 |
| | Primary Reviewer 2 COI signed | 04/10/17 | 04/26/17 |
| 3. Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/21/17 | 04/26/17 |
| | Primary Reviewer 2 critique submitted | 04/17/17 | 04/26/17 |
| | COI indicated by non-primary reviewer | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | Discussed at Peer Review Meeting | YES | 04/26/17 |
| | Peer Review Meeting | 04/22/17 | 04/26/17 |
| | Post review statements signed | 04/25/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Score report delivered to CSO | 04/27/17 | 04/27/17 |
| Recommended for SRC Review | YES | 04/26/17 | |
| 4. Final SRC Recommendation | COI indicated by SRC member | NONE | 04/26/17 |
| | COI recused from participation | N/A | 04/26/17 |
| | SRC Meeting | 04/22/17 | 04/26/17 |
| | Third Party Observer Report | 04/22/17 | 05/01/17 |
| | Recommended for grant award | YES | 04/26/17 |
| | SRC Chair Notification to PIC and OC | 04/26/17 | 04/27/17 |
| 5. PIC Review | Candidate not accepted position prior to SRC date | YES | 05/01/17 |
| | COI indicated by PIC member | NONE | 05/02/17 |
| | COI recused from participation | N/A | 05/02/17 |
| | PIC review meeting | 05/02/17 | 05/02/17 |
| | Recommended for grant award | YES | 05/02/17 |
| 6. Oversight Committee Approval | CEO Notification to Oversight Committee | | |
| | COI indicated by Oversight Committee member | | |
| | COI recused from participation | | |
| | Donation(s) made to CPRIT/foundation | | |
| | Presented to CPRIT Oversight Committee | | |
| | Award approved by Oversight Committee | | |
| | Authority to advance funds requested | | |
| | Advance authority approved by Oversight Committee | | |

The identity of the attesting party is retained by CPRIT.