



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

May 18, 2016

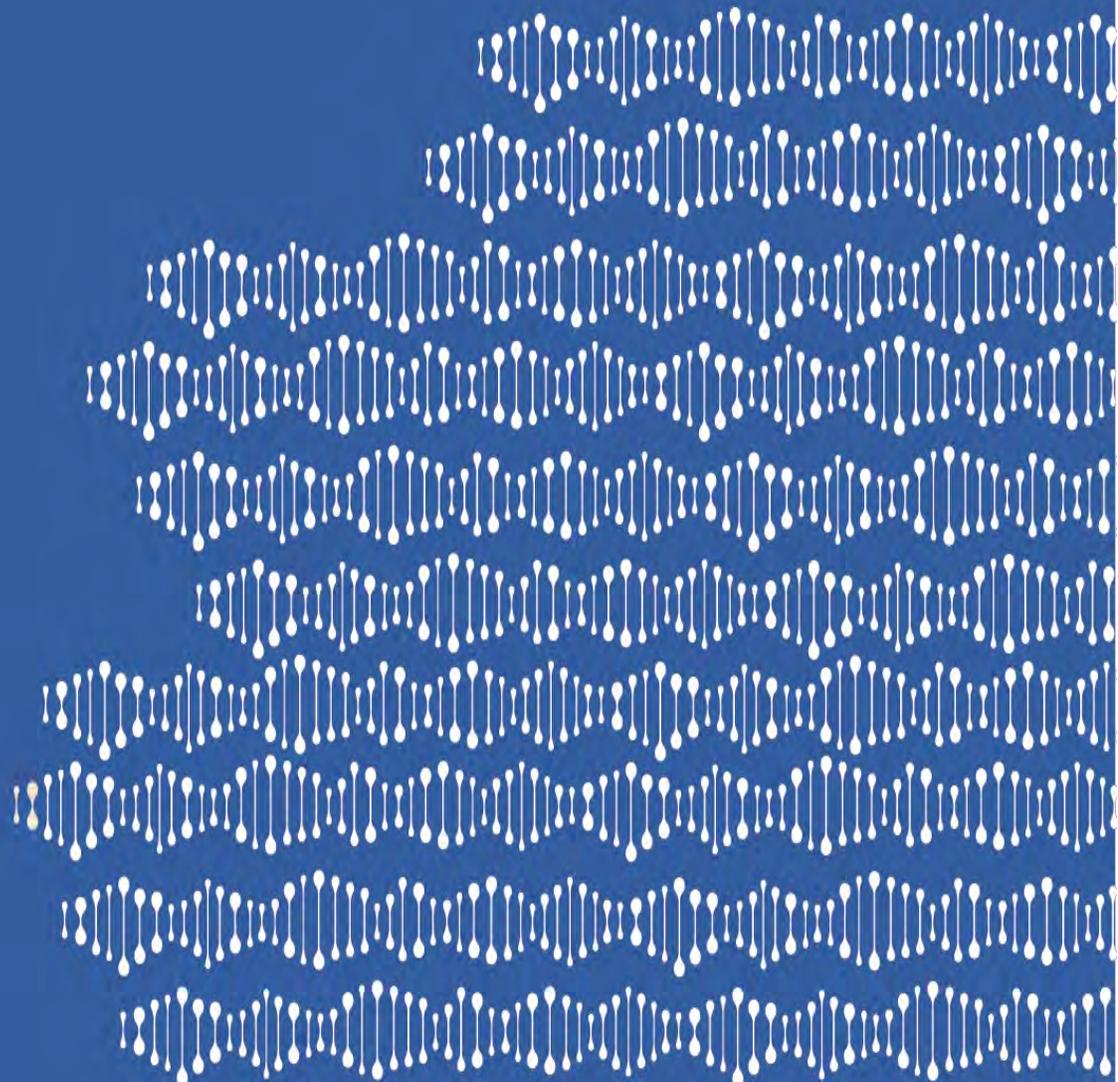


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CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

**Academic Research FY 2016 Review Cycle 2 and Recruitment Cycles 7 -9
Award Recommendations**

May 18, 2016

Summary: The PIC recommends 33 applications totaling \$45,346,968

	Grant Type	Total
4	Core Facilities	\$19,743,232
21	High Impact/High Risk	\$ 4,193,354
2	Multi-Investigator	\$10,587,315
6	First Time Tenure Track Faculty Recruitment	\$10,823,067
33	Total	\$45,346,968

#	Program Priorities Addressed by Grant Recommendations*
21	A broad range of innovative, investigator-initiated research projects
3	Prevention and early detection
2	Computational biology and analytic methods
9	Rare and intractable cancers, including childhood cancers
4	Population disparities and cancers of importance in Texas
6	Recruit outstanding cancer researchers to Texas
4	Enhance Texas' research capacity and life science infrastructure (priority across programs)

* One recommendation may address more than one program priority

FY 2016 Academic Research funding to date (does not include May awards) – \$109,410,850

Special Notes: The PIC elected to defer seven grant award recommendations totaling \$44,602,336 for consideration at the August 17 Oversight Committee meeting.

Academic Research Award Mechanisms –FY 2016 Review Cycle 2

Core Facilities Support Awards (CFSA)

Solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer. Award of up to \$3M (total costs) for the first 2 years and up to \$1M (total costs) for each subsequent year; the maximum duration of the award is five years.

High-Impact/High-Risk Research Awards (HIHR)

Provides short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers. Award of up to \$200,000 (total costs); the maximum duration of the award is up to two years.

Multi-Investigator Research Awards (MIRA)

Supports the creation of integrated programs of collaborative and cross-disciplinary research among multiple investigators. Teams will focus on critical areas of cancer research. Laboratory research, translational studies, clinical, and population-based investigations may be supported. Award of up to \$7.5M (total costs); the maximum duration of the award is up to five years.

Recruitment of First-Time, Tenure-Track Faculty Members

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



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: JAMES WILLSON, MD, CHIEF SCIENTIFIC OFFICER
SUBJECT: FY 2016 CYCLE 2 RESEARCH AWARDS
DATE: MAY 5, 2016

Summary and Recommendation

The Program Integration Committee has reviewed the rank ordered list of research applications submitted by the Scientific Review Council and recommends that the Oversight Committee approve 27 proposals totaling \$34,523,901. The proposed awards include four Core Facilities Support Award applications, 21 High Impact/High Risk Award applications and two Multi-Investigator Research Award applications. As noted in the summaries below, the Program Integration Committee elected to defer final award decisions on two Core Facilities and five Multi-Investigator proposals recommended by the Scientific Review Council.

The Academic Research FY 2016 Review Cycle 2 award summary cover page provides the Oversight Committee's program priorities addressed by the proposed awards, as well as a short description of the three grant mechanisms.

Core Facilities Support Awards (RFA R-16-CFSA-2) Slate

The Core Facility Support Award provides cancer researchers access to research infrastructure, instrumentation, and technical expertise necessary to achieve their research objectives.

Applicants may request a maximum of \$3,000,000 in total costs for the first 2 years and up to \$1,000,000 in total costs for each subsequent year for a total of \$6,000,000. The maximum duration for this award is five years.

Eighteen applications were submitted for Core Facilities Support Awards. The Scientific Review Council recommended six applications for grant awards. The Program Integration Committee elected to defer the final award decision on two recommendations. The total amount recommended by the PIC for the four proposed awards is \$19,743,232.

When evaluating the Core Facilities applications, reviewers considered the following:

- Is the need for the facility justified?

- Is it necessary and appropriate for the research projects?
- Will the state-of-the-art facility directly support and impact cancer research programs at the institution and in the region?
- How will the availability of the facility offer incipient research projects by investigators at various career stages the opportunity to develop?
- Will the facility make the user group more competitive for external funding?
- Are the projects at the forefront of cancer research?
- Are the projects of significance in reducing cancer incidence, morbidity, or mortality?
- Is there sufficient technical expertise for optimal use of the facility?

The Core Facility Support Awards recommended for CPRIT funding will impact cancer research in Texas and address the academic research program priorities that have been identified by the Oversight Committee.

RP160805 Preclinical Candidate Discovery Core: DNA-Encoded Chemistry Technology (DEC-Tec) platform. (Baylor College of Medicine)

The DEC-Tec platform will establish cutting edge technology that will provide cancer researchers at the Baylor College of Medicine and the Texas Medical Center the ability to screen hundreds of millions of drug-like compounds at an unprecedented efficiency and modest cost to accelerate the discovery of new cancer therapeutics. This award will increase the life sciences infrastructure in Texas.

RP160657 Targeted Therapeutic Drug Discovery & Development Program. (UT Austin)

This core resource will leverage the exceptional expertise of the UT School of Pharmacy in medicinal chemistry and drug formulation to support 5-8 projects per year designed to identify novel precision medicines (targeted cancer therapeutics) for a range of refractory cancers including triple-negative breast cancer, lung cancer, prostate cancer, melanoma, pancreatic cancer, and pediatric brain cancer. This award will increase the life sciences infrastructure in Texas and promises to address intractable cancers and cancers of importance in Texas.

RP160732 Cancer Genome Sequencing and Computation Core. (UTHSC San Antonio)

This award will support an upgrade of genomic sequencing and bioinformatics capabilities at the Greehey Children's Cancer Research Institute and Cancer Therapy & Research Center at the UTHSC San Antonio. This award will increase the life sciences infrastructure and computational biology expertise in Texas and will support high impact pediatric cancer research.

RP160716 Texas Pediatric Patient Derived Xenograft Facility. (UTHSC San Antonio and UTSW)

The Texas Pediatric Patient Derived Xenograft (PDX) facility will establish PDX models from pediatric cancer tissues resected from children in Dallas and San Antonio. PDX models recreate an individual patient's cancer in a mouse host that can be used to study the biological underpinnings of cancer and to develop new and more effective treatments. This award will establish the first and only comprehensive pediatric PDX facility in the nation and thereby significantly impact life sciences infrastructure in Texas and support outstanding pediatric cancer research in Texas.

High Impact/High Risk Research Awards (RFA R-16-HIHR-2) Slate

High Impact/High Risk Research Awards provide short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers. The intent is to support innovative, developmental projects that focus on exceptionally promising topics that are not yet sufficiently mature to compete successfully for more conventional funding. Grantees may receive up to \$100,000 for each of two years for a maximum total of \$200,000.

The peer review panels evaluated 151 applications. Twenty-one High Impact/High Risk Research Awards are recommended for funding for a total of \$4,193,354. It is notable that two-thirds of the proposed awards will go to researchers at institutions that have not been major CPRIT grantees in the past.

Questions considered by the reviewers include:

- Does the proposed research have a high degree of relevance to cancer?
- What is the innovative potential of the project?
- Does the applicant propose new paradigms or challenge existing ones?
- Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important under-or unexplored areas?
- If the research project is successful, will it lead to truly substantial advances in the field?

The proposed awards represent a broad range of innovative, investigator-initiated research projects. Twelve of these awards will address specific priorities identified by the Oversight Committee including: intractable cancers - brain cancer (3), lung cancer (2), childhood cancers

(2); prevention and early detection (2); computational biology and analytic methods (1); and life sciences infrastructure (2).

Multi-Investigator Research Awards (RFA R-16-MIRA-2) Slate

Multi-Investigator Research Awards support the creation of integrated programs of collaborative and cross-disciplinary research among multiple investigators. Teams focus on critical areas of cancer research, especially those that have been inadequately addressed by research up to this point or for which there may be an absence of an established paradigm or technical framework. The maximum duration for this award mechanism is five years. Applicants may request a maximum of \$7,500,000 in total costs.

The peer review panels evaluated 31 applications. Questions considered by reviewers evaluating the Multi-Investigator Research applications include:

- Does the proposed research have a high degree of relevance to reduce the burden of cancer?
- What is the innovative potential of the program?
- Does the program propose new paradigms or challenge existing ones?
- Does the program develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas?
- If successful, will it lead to truly substantial advances in the field rather than add modest increments of insight?
- Does the proposed project provide strong synergistic activities as part of a multidisciplinary collaboration?
- If core facilities are described, are they necessary and sufficient to support the project in achieving the overall goals proposed?
- Has the project assembled the best qualified collaborative and multidisciplinary teams to achieve the proposed goals?

The Scientific Review Council recommended seven applications for grant awards. The Program Integration Committee elected to defer the final award decision on five MIRA applications and recommends that the Oversight Committee approves grant awards to two MIRA proposals totaling \$10,587,315. The Program Integration Committee's proposed funding recommendation is based on funding the two grant awards at 80% of the budgets approved by the Scientific

Review Council. The budget reductions help to assure sufficient funds are available to support all recommended research grants in FY 2016.

Both proposed awards address lung cancer, the cancer with the highest mortality in Texas and identified as a CPRIT priority.

RP160652 Defining and Defeating Mechanistic Subtypes of KRAS-Mutant Lung Cancers.

This proposed MIRA grant supports investigators from MD Anderson, UT Southwestern, and Rice University to develop new targeted treatment for lung cancers containing the KRAS mutation. Recent advancements in the development of targeted therapies for lung cancer have dramatically improved survival durations for some but not all patients. Lung cancers that have the KRAS mutations have not benefited from these advances. This MIRA brings together a team of investigators with the complementary areas of expertise needed to pursue research to address this unmet need.

RP160668 Pathogenesis and Early Progression of Lung Cancer.

Investigators from MD Anderson and Baylor College of Medicine have teamed up to investigate how genomic factors and host immune response determine the pathogenesis and early progression of non-small cell lung cancers. If successful, this research will lead to development of new biomarkers that will be used to predict the outcome of early stage lung cancer and will be used to refine treatment strategies. One of the projects proposed in this MIRA was judged by the review panel to not merit support and the overall budget was reduced based on deletion of the project from the MIRA.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: JAMES WILLSON, MD, CHIEF SCIENTIFIC OFFICER
SUBJECT: RECRUITMENT AWARD RECOMMENDATIONS – FY16.7 - 16.9
DATE: MAY 3, 2016

Summary and Recommendation:

The Program Integration Committee has reviewed the rank ordered list of recruitment applications submitted by the Scientific Review Council and recommends that the Oversight Committee approve six grant awards totaling \$10,823,067. All six awards are made pursuant to the First-Time, Tenure-Track Faculty Member recruitment grant mechanism. These recruitment awards will support the early careers of an exceptional group of cancer researchers and address the Oversight Committee's priority to recruit outstanding cancer researchers to Texas.

The Academic Research FY 2016 Review Cycle 2 award summary cover page provides the Oversight Committee's program priorities addressed by these awards as well as a short summary of the First-Time, Tenure-Track Faculty Member recruitment grant mechanism.

Background – FY 16.7 – 16.9 Recruitment Review Cycles

The Scientific Review Council met in February, March and April to review 19 recruitment applications submitted in the review cycles 16.7 – 16.9. Of the 19 applications, three applications were submitted for the Recruitment of Established Investigators award mechanism, two applications were submitted for the Recruitment of Rising Stars grant award mechanism, and 14 applications were submitted for the Recruitment of First-Time, Tenure-Track Faculty Members grant award mechanism.

None of the Established Investigator or Rising Stars applications were recommended for awards by the Scientific Review Council.

Recruitment of First-Time, Tenure-Track Faculty Members Slate

The aim of the RFA for the Recruitment of First-Time, Tenure-Track Faculty Members 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. The recruiting institution may receive up to \$2 million over a period of 4 years for the successful candidate.

Review criteria focuses 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 the strength of the institutional commitment to the candidate.

The Scientific Review Council evaluated 14 applications for First-Time, Tenure-Track Faculty Member grant awards, ultimately recommending six applications. The six candidates recommended for recruitment awards are listed below, along with a brief summary of their associated expertise. All have outstanding training and records of achievement and a strong commitment to cancer research.

Omid Veisheh, Ph.D. (Rice) – Dr. Veisheh received his PhD in Materials Science & Engineering and Nanotechnology from the University of Washington in 2009 and is currently a postdoctoral research fellow working with Dr. Robert Langer at MIT. He is being recruited to the Department of Bioengineering, Rice University. His mentors described him as “easily in the top 1% of all PhD students encountered in their research labs” and as having “an exceptional research track record, as compared to that of more senior scientist in biomaterials development, nanotechnology and chemical and biomedical engineering. Not only is he intelligent, creative and motivated, but he also possesses an extraordinary enthusiasm to advance his research toward clinical translation”. As a CPRIT scholar, he plans to develop a clinically translatable, nanoparticle technology for the treatment of medulloblastoma, the most common form of childhood brain cancer.

Lydia Finley, Ph.D. (UTSW) – Dr. Finley completed a PhD at Harvard Medical School studying metabolism and postdoctoral work in cancer biology with Craig Thompson at Memorial Sloan Kettering where she received a prestigious Damon Runyon Cancer Research Fellowship. She is being recruited to UTSW and the Children’s Research Center. Her mentors stated “She ranks in the top 1% of all students/postdocs I have seen at Harvard and MIT. She is by far one of the most talented individuals on the job market in years”. She plans to combine her training in cancer biology and metabolism to study how changes in how a cell uses nutrients can increase cancer susceptibility and will focus on understanding the causes of pancreatic cancer. Her work could begin to explain why dietary changes influence cancer risk.

Mark Pellegrino, Ph.D. (UT Arlington) –Dr. Pellegrino received a PhD from the University of Melbourne and is currently a postdoctoral associate at Memorial Sloan Kettering Cancer where he made a novel observation that suggests how bacteria may contribute to the carcinogenic

potential of tumor populations. He is being recruited to the Department of Biology, UT Arlington. The importance of his research is illustrated by the fact that humans carry more bacterial cells than human cells. As a CPRIT scholar, he plans to explore the consequence of microbial exposure on cancer risk and immunity and will complement the research environment at UT Arlington with collaborations with scientists at UTSW.

Charles Kaufman, Ph.D. (UTSW) – Dr. Kaufman is a physician scientist who received his MD/PhD from the University of Chicago and medical oncology training at Dana Farber/Harvard Cancer Center where he has conducted post-doctoral research in melanoma. He is being recruited as an Associate Professor in the Department of Internal Medicine at UT Southwestern. His postdoctoral work at the Dana Farber has addressed a central question in cancer biology - why do most normal cells that harbor cancer associated mutations not become cancers. This breakthrough work on melanoma, published in *Science*, is thought to be one of the most imaginative approaches to this question and be the basis for the work that he will continue at UTSW.

Reto Fiolka, Ph.D. (UTSW) – Dr. Fiolka is an optical physicist who received his PhD in Advanced Light Microscopy from the Swiss Federal Institute of Technology in Zurich and then trained with pioneers in the development of super resolution light microscopy at the Howard Hughes Medical Institute's Janelia Farm Laboratory. Dr. Fiolka then joined the laboratory of Gaudenz Danuser a CPRIT Scholar at UTSW, where he developed new microscopy technologies that promise to transform how cancer is studied. He is being recruited to the Department of Cell Biology at UTSW where he will use the super resolution microscopes that he has designed to image cancer in ways not previously possible and by doing so overcome many of the limitations of artificial lab models of cancer.

Myron Ignatius, Ph.D. (UTHSC SA) – Dr. Ignatius received his PhD in Pathology at Ohio State and is currently an Instructor of Pathology at Massachusetts General Hospital. He developed a model of childhood rhabdomyosarcoma in zebrafish that has many hallmarks of the human disease and provides opportunities to investigate this important pediatric cancer. He will join the Greehey Children's Cancer Research Institute at the UTHSC San Antonio where he plans to investigate why childhood rhabdomyosarcomas frequently recur after initial treatment. Notable is the opportunity that Dr. Ignatius will have to interact at UTHSC SA with Dr. Peter Houghton, an international authority on childhood cancers.



CANCER PREVENTION & RESEARCH
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**Product Development Research FY 2016 Review Cycle 1
Award Recommendations**
May 18, 2016

Summary: The PIC recommends two applications totaling \$36,833,538

#	Grant Type	Total
2	New Company Product Development Research Award	\$36,833,538
2	Total	\$36,833,538

#	Program Priorities Addressed by Grant Recommendations*
2	Funding projects at Texas companies and relocating companies that are most likely to bring important products to the market
	Providing funding that promotes the translation of research at Texas institutions into new companies able to compete in the marketplace
	Identifying and funding projects to develop tools and technologies of special relevance to cancer research, treatment, and prevention
2	Early translational research (priority across programs)
2	Enhance Texas' research capacity and life science infrastructure (priority across programs)
2	Rare and intractable cancers, including childhood cancers (Academic Research priority)

* Grant recommendations may address more than one program priority

FY 2016 Product Development Research funding to date: (does not include May awards) – \$20,000,000

Special Notes: DP160014 will relocate to Austin from Connecticut; both recommendations include specific contract contingencies that the proposed grantees must agree to in order to execute the grant contract.

Product Development Research Award Mechanisms – FY 2016 Review Cycle 1

New Company Product Development Awards

This award mechanism seeks to support early-stage “start-up” companies in the development of new products for the diagnosis, treatment, or prevention of cancer. Companies must have a significant presence in Texas or be willing to relocate to Texas. The maximum award amount is \$20 M, with a project duration of up to 36 months.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: MICHAEL LANG, CHIEF PRODUCT DEVELOPMENT OFFICER
Subject: FY 16.1 PRODUCT DEVELOPMENT GRANT RECOMMENDATIONS
Date: May 6, 2016

Summary of Recommendation:

The Program Integration Committee met on May 3, 2016 and unanimously recommended that the Oversight Committee approve New Company product development research grant awards to Salarius Pharmaceuticals LLC (\$18,893,395), and Pelican Therapeutics (\$17,940,143). Both awards are subject to certain contingencies and additional goals and objectives recommended by the PDRC.

Salarius' proposed product development research project will develop a first in class drug to treat Ewing's Sarcoma and certain prostate cancers. The scientific rationale underlying the project is highly rated by the review panel, receiving an overall score of 2.0. Salarius will relocate to Texas from Connecticut.

The scientific rationale underlying Pelican's product development research project is also highly rated by the review panel, receiving an overall score of 2.3. The Pelican project will develop a first in class immunotherapy to activate killer T cells for use in multiple cancers. Pelican is located in Austin, Texas.

In making the recommendations, the PDRC also considered each company's potential to: 1.) bring important products to market; 2.) to promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and 3.) develop tools and technologies of special relevance to cancer research, treatment, and prevention.

Background - FY 16.1 Review Cycle:

The RFAs for the FY 2016.1 review cycle were released August 3, 2015. CPRIT received 25 applications for the FY 2016.1 review cycle. Peer review took place at meetings on October 29-30, 2015 (peer review panel screening teleconference), December 1 and 3, 2015 (in-person presentations), and March 21, 2016 (due diligence review).

Of the 25 applications submitted in this cycle, 12 applicants were invited to make in-person presentations, of which five were selected for due diligence review. After consideration of the due diligence reports, the PDRC recommended two grant applications, Salarius and Pelican Therapeutics, for grant awards. As noted by Dr. Geltosky's letter, the recommendation to fund

Salarius and Pelican Therapeutics reflects 50+ hours of individual review and panel discussion of each applicant's proposal as well as the PDRC's review of the due diligence reports for each company.

Mechanism of Support and Program Objectives:

Salarius and Pelican Therapeutics are recommended for New Company Product Development research awards. The award mechanism supports the work of new companies that intend to undertake product research and development in Texas with Texas-based employees. In determining eligibility for this award, CPRIT carefully evaluates whether applicants will have a significant presence in Texas. New Company Product Development Awards assist early-stage startup companies by providing the opportunity: (1) to further the research and development of new products for the diagnosis, treatment, supportive care, or prevention of cancer; (2) to establish infrastructure that is critical to the development of a robust industry; and (3) to fill any treatment, industry, or research gaps.

Program Priorities:

Consistent with CPRIT's Product Development Program Priorities, the New Company mechanism funds projects at companies that are most likely to bring important cancer care products to the market. Development of the therapeutic to treat the various cancers addressed by these two projects also aligns with the Oversight Committee's other program priorities to support rare and intractable cancers, including childhood cancers and those of significant unmet clinical need.

Salarius Pharmaceuticals ***Proposed New Company Product Development Award***

Salarius Pharmaceuticals - \$18,893,395 New Company Product Development Research Award Recommendation

Summary

The proposed \$18,893,395 award to Salarius supports the continued development of novel drugs for rare pediatric cancers and other cancers by developing drugs that interrupt the final steps of the cancer-signaling cascade. The scientific rationale underlying Salarius' proposed product development research project is highly rated by the review panel, receiving an overall score of 2.0. Utilizing CPRIT and matching funding, the company intends to advance its lead compound from late preclinical (Investigational New Drug (IND) enabling studies) through early proof of concept studies (Phase I/II) in both Ewing's Sarcoma and castration resistant prostate patients.

The project, if successful, provides the first specific therapeutic option for Ewing's Sarcoma patients and late stage prostate cancers. Ewing's Sarcoma is a rare, devastating bone cancer primarily afflicting children, adolescents, and young adults. There is no approved treatment and it is over 70% fatal. A successful new therapy is the only hope for thousands of Ewing's Sarcoma patients and their families.

Salarius' lead compound, SP-2577, targets the Lysine Specific Histone Demethylase 1 pathway (LSD1), a cellular control protein that is overactive in a range of cancers. Salarius has developed a first in class, highly specific, LSD1 inhibitor. Preclinical testing is underway on SP-2577. The company expects to file an IND later in 2016 to initiate clinical trials in both Ewing's Sarcoma and prostate indications. Most of CPRIT's funding will support phase I/II studies. The company plans initial clinical testing in Ewing's Sarcoma, other undifferentiated sarcomas and late stage prostate cancer. Successful results could support an accelerated regulatory process with a Ewing's Sarcoma orphan drug indication with anticipated approval in the third quarter of 2019.

The development of SP-2577 aligns with CPRIT's focus on rare and pediatric cancers and those of significant unmet clinical need. If funded, Salarius will relocate to Texas from Connecticut, where it will continue the development of SP-2577 in partnership with Texas Children's Hospital.

Ewing's Sarcoma

Ewing's Sarcoma is a bone cancer of pediatric, adolescent, and young adults with no approved treatment. The disease is rare, afflicting fewer than 1000 patients annually in the US. Most patients are between 10 and 20 years old. It most often presents as an undifferentiated primary bone tumor or in soft tissue (extraosseous Ewing Sarcoma). Both are part of a spectrum of neoplastic diseases known as the Ewing Sarcoma family of tumors (EFT).

Treatment options for Ewing's patients are limited and prognosis is poor. The small patient population limits the ability of researchers to explore alternative therapies. Roughly 50% of Ewing's Sarcoma patients fail to respond to chemotherapy, radiation or surgical treatment and face 70%-80% mortality.

Scientific Rationale Underlying Lead Compound SP-2577

Salarius' lead compound, SP-2577, is a reversible inhibitor of LSD1, an enzyme involved in abnormal epigenetic promotion of cancer. It works by reversing the genomic program that cancers run using this enzyme to promote tumor growth. LSD1 is an emerging cancer target that promotes cancer by demethylating lysine 4 and lysine 9 in the histone H3. LSD1 plays a critical role in undifferentiated and translocated fusion protein sarcomas, like Ewing's Sarcoma. It is of particular importance for cancers like prostate and breast cancer that achieve hormonal independence. In the Ewing's Sarcoma xenograph model, SP-2577 cured all mice with Ewing's Sarcoma.

SP-2577 is poised to enter clinical trials in 2016 to treat Refractory Ewing's Sarcoma, and hormone resistant prostate cancer. The company also plans to conduct clinical studies of SP-2577 in castration resistant prostate cancer. Development of a second generation LSD1 inhibitor program is underway. This compound provides structural diversity and allows Salarius to continue development of a lead compound that shows positive Ewing's sarcoma efficacy results but requires improvement of structure-based toxicity manifests.

Selected Reviewer Comments

- “This may represent the first new therapy for this disease in more than a generation and the probability of success is rather high: (1) The target, LSD1, is well validated given what is known about the molecular genetics of this disease as being driven by a gene translocation in EWS/FL1 and the role of LSD1 in regulating the downstream effects of this gene translocation; (2) the development compound, SP-2577 represents a best in class LSD1 inhibitor, and (3) Ewing's sarcoma is a particularly lethal disease with a 70-80% 5 year mortality rate.”
- “LSD1 inhibitors are being developed by others, but this one may be the best in class. The preclinical data provides a compelling case for its use in Ewing's sarcoma. However, this is a fairly small subset of overall cases of sarcoma so it would represent a fairly small market. LSD1 is clearly a very important drug target which needs to be developed in a number of cancers, including AML.”
- “There is very strong preclinical justification and target validation to support clinical evaluation of SP-2577 in refractory Ewing's and related sarcomas (ESFT), a high unmet medical need. The drug has breakthrough potential in this indication. A product with significant clinical activity in refractory and relapsed Ewing's sarcoma family of tumors (ESFT) would represent an important treatment advance for what is a high unmet medical need. While a number of competitive drugs representing different mechanisms of action are

at various stages of development, it is not apparent that any have the same breakthrough potential in ESFT as the Salarius compound SP-2577.”

Grant Award Contract and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Therapies that show promise in the lab and in animals may not make a measurable difference in humans or the treatment’s side effects may be so severe as to not justify the benefits. Along with the increased risk of scientific failure, human studies are more expensive than laboratory and animal studies.

CPRIT addresses the risk associated with product development awards by tying disbursement of grant funds to achieving specific goals and objectives. The company only receives the entire amount of the award if all goals and objectives are met. Because goals are usually associated with project milestones, such as receiving FDA approval for an IND filing or completing a Phase I clinical trial, achieving all goals also means that the project is making meaningful progress on the way to becoming a treatment option.

A summary of the company’s goals and objectives, along with the associated tranches, are set forth below. For a complete explanation of each goal and summary, please see pages 11-15 of the application. In addition, the PDRC recommends the certain contingencies, goals, and objectives be included in the grant award contract. The PDRC’s recommended goals and objectives and rationale are reflected in red and are in addition to those already specified by the Salarius application. These goals and objectives will be incorporated into the “Scope of Work” for the award contract.

Salarius Project Goals and Objectives:

The bulk of CPRIT funding will support clinical development of SP-2577. Planned clinical studies include:

- Conduct Adult/Adolescent Ewing’s Sarcoma clinical trials on SP-2577.
- If successful, conduct refractory Ewing’s Sarcoma Compassionate Use study
- Conduct castration resistant prostate cancer clinical trial

In addition, Salarius will maintain a backup LDS1 program to provide alternative compounds should enhanced efficacy or untoward toxicity manifest in above clinic studies.

Specific goals and objectives for each year of the grant project, described below, will be included in the executed grant contract.

1. Hire at least five additional employees bringing total Texas employment to at least 15;
2. Review mid-point phase II adult and adolescent Ewing's Sarcoma data and if appropriate, begin accelerated submission discussions with FDA;
3. Initiate Phase II pediatric Ewing's Sarcoma expansion study;
4. Start 2nd generation LSD1 pilot toxicology and prepare for GLP toxicology.

Pelican
Proposed New Company Product Development Award
Recommended by the Product Development Review Council

Pelican Therapeutics - \$17,940,143 New Company Product Development Research Award Recommendation

Summary

The proposed \$17,940,143 award to Pelican supports the continued development of novel immunotherapies for various cancers. Utilizing CPRIT and matching funding, the company intends to advance its lead compound, PTX-25, from preclinical studies through Phase I clinical trials to examine the benefits that PTX-25 provides to patients with one of several types of cancer, including lymphoma, lung, prostate, pancreatic and ovarian cancer. Pelican estimates filing its IND in Q4 2017.

PTX 25, is a human T-cell agonist antibody applicable to multiple cancers. Pelican has developed a first in class, humanized monoclonal antibody targeting TNFRSF25 T cells. The therapy enhances immune response and has shown promise in several mouse models. The company plans to complete development and test in a Phase I clinical study.

Pelican has operated virtually to date with no paid employees. If approved for the grant, the company that will establish its headquarters, research facility, CEO and core staff in Austin, Texas, to develop PTX 25 from the pre-IND phase through Phase I clinical trials. The company will bring other company-funded projects to Texas, including programs in oncology and autoimmune indications.

Scientific Rationale Underlying Lead Compound PXT-25

Pelican's lead candidate, PTX-25, is agonistic to a costimulatory target, TNFRSF25, on T-cells. It works by enhancing immune response through preferentially activating CD8+ T-cells. The compound has shown promise in several tumor mouse models and has potential synergies with checkpoint inhibitors.

Pelican has developed a preliminary Target Product Profile (TPP) targeting cancers mediated by diffuse large B-cells in lymphoma, prostate, NSCL, pancreatic, and ovarian cancers. The product will be an IV infusion with an estimated interval of three weeks. Initial contraindications have also been defined and are expected to be similar to other immunotherapies.

Pelican has three goals to be achieved under this application. The first goal is the completion of cell line development and GMP manufacturing for PTX-25. Its lead antibody should be established by project (i.e. funding) start for this part of the program to initiate. The cell line development will produce clones in IgG1 and IgG4 formats prior to selection of final clone for

GMP manufacture of clinical trial material (CTM) at 200L scale for the Phase 1 program. These data will then be compiled for the IND submission.

Pelican's second goal is submission of the IND, including the CMC data described above and the completed IND-enabling preclinical package. This will include toxicology studies in rodents and non-human primates (NHP).

The third goal is to execute the clinical program. This will likely consist of a dose-escalation stage with pharmacodynamic (PD) endpoints followed by a standard 3x3 dose-limiting toxicity (DLT) stage with an expansion cohort at a selected dose for pharmacokinetics (PK), PD, safety, and potentially efficacy. The overall timeline for the program is production of test article, drug product through to early 2017, preclinical program through 2017 and clinical study initiation early 2018.

Selected Reviewer Comments:

- “This proposal advances one of the most promising leads in cancer treatments, i.e., the harnessing of the immune system. If successful, this product could be a game changer for many patients that have cancer. The proposed work is particularly attractive for several reasons: (1) It has the potential to have broad applicability across several cancers, (2) it is likely to be synergistic with both current standard of care and the immunotherapies currently being developed, (3) it has the potential to be applicable from early stage disease to advanced disease, and (4) competing products may actually prove to have synergistic activity with the proposed product.”
- “Immunoncology is a hot area now with much big pharma interest. Partnering will be determined by clinical data and how many companies already have a clinical or near-clinical candidate.”
- “Agonist antibody PTX-25 to TNFRSF25 demonstrated specificity for activation of CD8+ T cells, a correlate of patient response. Predictable effects based on timing administration of agonist in proximity to antigen are demonstrated. There is detailed characterization of PTX-25 to warrant possible selection as a therapeutic from a biology perspective. Patient dosing plans are designed to mitigate concerns identified with TGN1412, with lower starting dose and longer interval between dosing. There is potential to offer a new SOC agent in the immunotherapy space and a differentiated mechanism of action with little to no competition. This is highly recommend for funding.”

Funding Request and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Therapies that show promise in the lab and in animals may not make a measurable difference in humans or the treatment's side effects may be so severe as to not justify the benefits. Along with the increased risk of scientific failure, human studies are more expensive than laboratory and animal studies. CPRIT addresses the risk associated with larger product development awards by tying

disbursement of grant funds to achieving specific goals and objectives. The company only receives the entire amount of the award if all goals and objectives are met. Because goals are usually associated with project milestones, such as receiving FDA approval for an IND filing or completing a Phase I clinical trial, achieving all goals also means that the project is making meaningful progress on the way to becoming a treatment option.

A summary of the company's goals and objectives, along with the associated tranches, are set forth below. (For a complete explanation of each goal and summary, please see pages 8-10 of the application.) In addition, the PDRC recommends the certain contingencies, goals, and objectives be included in the grant award contract. The PDRC's recommended goals, objectives, and rationale are reflected in red and are in addition to those already specified by Pelican application.

Pelican Project Goals and Objectives

In addition to the project objectives summarized below, specific goals and objectives for each year of the grant project will be included in the executed grant contract:

- Completion of cell line development and GMP manufacturing for PTX-25.
- Submission of IND, including the CMC data described above and the completed IND-enabling preclinical package.
- Execute the clinical program consisting of dose-escalation study followed by a standard 3x3 dose-limiting toxicity (DLT) stage.

The overall timeline for the program is production of test article, drug product through to early 2017, preclinical program through 2017 and clinical study initiation by early 2018.

Within the first 90 days of contract execution

Engage patent legal counsel to conduct a freedom to operate review to determine if there are any issues related to third party patents with respect to either the drug candidates or methods of manufacture. A third party review was conducted in 2012 and should be updated.

Year 1 **June 1st 2016-May 31st 2017**

Tranche **\$7,321,621**

Primary Objectives Manufacturing of PTX-25

1. Cell line development of PTX-25. This will include stable transfection of two CHO-K1 cell lines with the lead antibody clones in both an IgG1 and an IgG4 format;
2. Complete GMP manufacturing at 200-L scale;
3. Complete CMC materials to support IND;
4. Conduct a freedom to operate review as soon as practical;
5. Develop a comprehensive IP strategy with the goal of obtaining a composition of matter patent protection;
6. Collaborate with clinical and regulatory advisors to finalize clinical trial strategy;

PIC Chair Recommendation Letter



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

PIC Chair Letter



May 6, 2016

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 35 grant applications totaling \$82,180,506. The PIC recommendations for 33 academic research grant awards and two product development award are attached.

Dr. James Willson, CPRIT's Chief Scientific Officer, and Mr. Michael Lang, CPRIT's Chief Product Development Officer, have prepared overviews of the academic research and product development research program 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 proposal and the reasons for endorsing grant funding. In addition to the full overviews, all of the information considered by the Review Councils 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 PIC has used the award deferral process set by CPRIT administrative rule § 703.7(d) to defer the decision to recommend awards for seven academic research applications until a future FY 2016 meeting. Two Core Facility Support Awards and five Multi-Investigator Research Awards (MIRA) were deferred due to CPRIT budget limitations for the remainder of FY 2016 and the unknown impact of recruitment awards in the last quarter of the fiscal year. No Oversight Committee action is necessary at this time. A full list of the deferred applications is available on the portal.

Additionally, the PIC unanimously approved a change in budget to the two MIRA grants that are recommended to the Oversight Committee. Dr. Willson recommended reducing the budgets of each award by 20% due to overall CPRIT budget concerns.

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 the review process for the recommended grants prior to any Oversight Committee action.

The award recommendations will not be considered final until the Oversight Committee meeting on Wednesday, May 18, 2016. Consistent with the non-disclosure agreement that you 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 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, Dr. Willson and Mr. Lang are 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 33 academic research grant proposals totaling \$45,346,968. The recommended grant proposals were submitted in response to four grant mechanisms: Core Facility Support Awards; High-Impact/High-Risk Research Awards, Multi-Investigator Research Awards; and Recruitment of First-Time, Tenure-Track Faculty Members. The PIC followed the recommendations made by the Scientific Review Council (SRC) except for the seven applications that the PIC deferred to a later meeting date. The SRC provided the prioritized list of recommendations for the non-recruitment research awards to the presiding officers on March 29, 2016 and provided two prioritized lists of recruitment awards on March 24 and April 18, 2016

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;
 - This factor only applies to Core Facility Support Awards; Multi-Investigator Research Awards; and Recruitment of First-Time, Tenure-Track Faculty Members
- 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 Grant Award Recommendations

The applications that were deferred by the PIC have been removed from this list.

Rank	App ID	Organization/Company	Application Title	Budget	Mech	Overall Score
1	RP160805	Baylor College of Medicine	Preclinical Candidate Discovery Core	\$5,999,997	CFSA	1.6

Rank	App ID	Organization/Company	Application Title	Budget	Mech	Overall Score
2	RP160813	Acelerox	Nanoparticle Prophylaxis for Protection from Chemotherapy Ototoxicity	\$195,665	HIHR	1.8
3	RP160795	Baylor College of Medicine	A "Pap smear" for ovarian cancer	\$200,000	HIHR	1.8
4	RP160657	The University of Texas at Austin	Targeted Therapeutic Drug Discovery & Development Program	\$4,982,636	CFSA	1.9
5	RP160776	The University of Texas at Austin	Rapid Molecular Diagnosis of Lung Cancer Biopsies by Ambient Ionization Mass Spectrometry	\$200,000	HIHR	1.9
6	RP160884	Baylor College of Medicine	RNA processing stress: a new therapeutic entry point in triple-negative breast cancer	\$200,000	HIHR	2.0
7	RP160847	Texas A&M Engineering Experiment Station	A Body Coil for MR Imaging and Spectroscopy of Cancer at 7 Tesla	\$200,000	HIHR	2.0
8	RP160732	The University of Texas Health Science Center at San Antonio	UTHSCSA Cancer Genome Sequencing and Computation Core	\$3,680,756	CFSA	2.0
9	RP160652**	The University of Texas M. D. Anderson Cancer Center	Defining and Defeating Mechanistic Subtypes of KRAS-mutant Lung Cancers	\$5,981,040	MIRA	2.0
10	RP160668*	The University of Texas M. D. Anderson Cancer Center	Pathogenesis and Early Progression of Lung Cancer	\$4,606,275	MIRA	2.0
11	RP160834	Texas A&M University	Integrated-cavity-enhanced pre-screening for lung cancer	\$200,000	HIHR	2.1
12	RP160842	Texas A&M University System Health Science Center	Novel roles for NIK in high-grade glioma: regulation of mitochondrial dynamics to control cell migration and invasion	\$200,000	HIHR	2.1
13	RP160716	The University of Texas Health Science Center at San Antonio	Texas Pediatric Patient Derived Xenograft Facility	\$5,079,843	CFSA	2.1
14	RP160713	The University of Texas Southwestern Medical Center	Amino Acid Sensing: Directing Cell Growth through mTORC1	\$198,983	HIHR	2.1
		The University of Texas	Targeting Histone Acetylation Readers			

Rank	App ID	Organization/Company	Application Title	Budget	Mech	Overall Score
16	RP160739	M. D. Anderson Cancer Center	in MLL- translocated Leukemias	\$200,000	HIHR	2.2
19	RP160822	Texas AgriLife Research	Exploring Geminivirus-encoded suppressor of histone methyltransferases as an anti-cancer drug	\$199,958	HIHR	2.5
20	RP160866	The University of Texas at Dallas	Renal Clearable Nanodelivery System for Triple Negative Breast Cancer Therapy	\$200,000	HIHR	2.6
22	RP160806	Texas Tech University	Development of high throughput technology to identify drugs for muscle wasting during cancer	\$199,995	HIHR	2.7
24	RP160827	Texas A&M University System Health Science Center	A platform technology for the isolation of anti- cancer monoclonal antibodies from chickens	\$200,000	HIHR	2.8
25	RP160775	The University of Texas Health Science Center at Houston	Becoming fatter to survive: cancer cells increase lipid storage to counter metabolic stress	\$200,000	HIHR	2.8
28	RP160841	The University of Texas Health Science Center at San Antonio	Targeting EWS-FLI-1 for degradation	\$200,000	HIHR	2.9
29	RP160765	Texas A&M University System Health Science Center	An unlikely therapeutic target for malignant bone disease: Dkk-1 activates a stress resistance mechanism in bone tumor cells	\$200,000	HIHR	3.1
30	RP160852	Texas State University - San Marcos	Chemo-preventive Approach to Cancer Exploiting a Presumptive Link between Genomic Instability and Structural Stability of non-B DNA Sequences	\$200,000	HIHR	3.1
31	RP160770	The University of Texas at Dallas	Optical opening of blood-brain barrier for brain tumor drug delivery by plasmonic nanobubbles	\$200,000	HIHR	3.1
32	RP160819	Texas AgriLife Research	Quantitative mapping of intracellular protein- protein interactomes in healthy and cancerous cells	\$198,753	HIHR	3.2
33	RP160704	The University of Texas at	High affinity therapeutic mimotope antibodies to the oncogenic Epidermal Growth Factor Receptor	\$200,000	HIHR	3.2

Rank	App ID	Organization/Company	Application Title	Budget	Mech	Overall Score
		Austin				
34	RP160763	The University of Texas Health Science Center at Houston	Targeting multiple myeloma stem cell niche	\$200,000	HIHR	3.2

*RP160668 - The peer review panel recommended the deletion of Project 4 from the MIRA application. As a result, the funds dedicated to that project were removed from the budget for a revised total of \$5,757,844. The final score was based on revised scope with the deletion of Project 4. The PIC further reduced the budget of this application by 20%, which is reflected in the above table.

**RP160652 - The PIC reduced the budget of this application by 20%, which is reflected in the above table.

CFSA - Core Facilities Support Awards

HIHR - High-Impact/High-Risk Research Awards

MIRA - Multi-Investigator Research Awards

Academic Research Recruitment Grant Award Recommendations Cycle 16.8

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR160047	Omid Veiseh	Recruitment of First-Time, Tenure-Track Faculty Members	Rice University	\$2,000,000	1.2
2	RR160048	Lydia Finley	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.6
3	RR160053	Mark Pellegrino	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas at Arlington	\$823,067	2.0

Academic Research Recruitment Grant Award Recommendations Cycle 16.9

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR160055	Charles Kaufman	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$ 2,000,000	2.2
2	RR160057	Reto Fiolka	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$ 2,000,000	2.6
3	RR160062	Myron Ignatius	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Health Science Center at San Antonio	\$ 2,000,000	2.6

Product Development Research Award Recommendations –

The PIC unanimously recommends approval of two product development grant proposals totaling \$36,833,538. The recommended grant proposals were submitted in response to the New Company Product Development Award Request for Applications. The Product Development Council (PDRC) recommended two applications to the PIC. The PDRC provided its recommendation to the presiding officers on April 18, 2016.

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 product development 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 (the PIC chose this factor for Established Company Awards);
- 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;
- expedite innovation and product development, 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.

**Product Development Research
Grant Award Recommendations**

Rank	Application ID	Company Name	Project	Maximum Requested Budget	Overall Score
1	DP160014	Salarius Pharmaceuticals	Developing Epigenetic Drugs that treat Rare Pediatric Cancers	\$18,893,395	2.0
2	DP160012	Pelican Therapeutics	Developing Killer T cell therapy for multiple cancers	\$17,940,143	2.3

* These recommendations are subject to the company’s acceptance of certain contract contingencies and/or additional goals and objectives.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

May 6, 2016

Dear Oversight Committee Members:

Pursuant to Texas Administrative Code § 703.7(d), the Program Integration Committee (PIC) unanimously voted to defer the following seven Academic Research applications that were recommended by the Scientific Review Council (SRC):

RP160771
RP160844
RP160693
RP160661
RP160667
RP160710
RP160674

The deferred applications include two Core Facility Support Awards and five Multi-Investigator Research Awards.

While all are meritorious projects and received favorable scores, the PIC deferred these applications due to CPRIT budget concerns for the remainder of FY2016. The PIC expects to recommend that the Oversight Committee approve funding for most if not all of the deferred grants in August. However, due to the large number of recruitment applications expected to be submitted in the last quarter of the CPRIT's fiscal year, the PIC preserved some flexibility in the event that there is not enough money remaining for FY 2016 to fund all applications recommended by the SRC.

Deferring these seven applications now allows CPRIT more flexibility when considering any award recommendations for the remainder of the fiscal year. No Oversight Committee action is necessary at this time.

Sincerely,

A handwritten signature in black ink that reads "Wayne R. Roberts".

Wayne R. Roberts
Chief Executive Officer

Compliance Certification – Chief Compliance Officer



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Compliance Certification



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
Subject: COMPLIANCE CERTIFICATION – MAY 2016 AWARDS
Date: MAY 4, 2016

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 First-Time, Tenure-Track Faculty Members
- Core Facilities Support Awards
- High-Impact, High-Risk Research Awards
- Multi-Investigator Research Awards
- New Company Product Development Awards

I have conferred with staff at CPRIT and SRA International (SRA), CPRIT’s contracted third-party grants administrator, regarding the academic research and product development 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 note that the following mechanisms received applications; however, none were recommended by the review councils or considered by the PIC: Recruitment of Established Investigators, Recruitment of Rising Stars, Established Company Product Development Awards and Company Relocation Product Development Awards. I certify the academic research and product development 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 SRA employees and CPRIT employees. CPRIT relies on SRA 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's accountant 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 in pre-receipt stage cover the period beginning with CPRIT's approval and issuance of the Request for Application (RFA) through the submission of grant applications. For the period covering these RFA's, CPRIT's administrative rules require that RFAs be publicly posted in the *Texas Register*. The RFA specifies a deadline and mandates that only those applications submitted electronically through CARS are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from completing the application submission. When this occurs, the applicant may request that the deadline be extended to allow for a late submission. The applicant's request is submitted to the CPRIT Helpdesk that is managed by SRA; the program officer considers any requests for extension and may approve an extension for

good cause. When an extension 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 16.7, 16.8, and 16.9, I note that fourteen applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA, three applications were received for the Recruitment of Established Investigators RFA, and two applications were received for the Recruitment of Rising Starts RFA. One academic recruitment application was withdrawn prior to review by the Recruitment Scientific Review Council meeting for Cycle 16.9. In response to the academic, non-recruitment RFAs for Cycle 16.2, CPRIT received 202 applications. Two applications were withdrawn by the applicants prior to Peer Review.

All academic research RFAs were posted in the Texas Register and all applications were submitted through CARS. Two applicants requested an extension to submit applications past the deadline. The program officer determined that good cause supported one of the requests and the deadline was extended. One application was denied an extension. Neither of the applicants that requested an extension were recommended for a grant award.

Product Development Research:

Eighteen applications were received in response to the New Company RFA, three applications were received for the Company Relocation RFA, and four applications were received in response to the Established Company RFA. All applicants recommended for awards paid the application fee. The product development research RFAs were published in the Texas Register and applications submitted through CARS. Two applicants requested an extension to submit the application after the deadline. The program officer determined that good cause supported the requests and the deadline was extended. Neither application that received an extension were recommended for a grant award.

Receipt, Referral, and Assignment Compliance:

Once applications have been submitted through CARS, SRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, SRA notifies the program officer and the program officer makes the final decision 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 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.

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

Peer Review:

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

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 summaries 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. A conflict of interest was declared for one recruitment application reviewed by the SRC. The reviewer disengaged from the conference call and did not participate in the discussion of the application.

Academic Research applications (non-recruitment) are reviewed by peer review panels and recommended to the Scientific Review Council. As documented by SRA, reviewers with conflicts of interest did not participate in review of those applications. I reviewed supporting documentation, such as conflict of interest statements (COIs), third-party observer reports, and sign out sheets. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant application(s).

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members as well as the six SRC members that attended the Review Council meeting on March 29, 2016.

Product Development Research:

Product Development Research awards go through a peer review teleconference screening call to determine which applications will be invited to in-person review. Those applicants that attend in-person review are once again evaluated by peer reviewers. Applicants recommended after in-person review must then go through due diligence, which is conducted by outside contractors and outside intellectual property counsel. The Product Development Review Council (PDRC) recommends awards after due diligence to the PIC. I have verified from SRA documentation that those reviewers

with conflicts did not participate in review of applications for which they indicated a conflict of interest.

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members as well as the five PDRC members and three review panel members, who served as primary reviewers, that attended the Review Council meeting on March 21, 2016.

I note that during the period of restricted communication, an applicant sent the Chief Product Development Officer (CPDO) an electronic communication regarding their application. The prohibition on communication begins on the first day that grant applications for the grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The CPDO did not respond to the applicant's electronic communication, but immediately notified CPRIT's CEO, General Counsel, and Chief Compliance Officer. The applicant was then instructed by the General Counsel not to send any more communication to the CPDO until the period of restricted communication ended. I am satisfied that no unfair advantage resulted from the applicant's inadvertent communication to the CPDO.

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.

For the academic research program and the product development research program, I reviewed that the recommendations correspond to RFAs that have been released and that the pedigrees reflect the date of the review council meeting and that the applications were recommended by the corresponding review council.

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 panel and review council meeting. The third-party observer reports document that the panel and review council discussions were limited to the merits of the applications and established evaluation criteria and that conflicted reviewers exited the room or the conference call when the application was discussed.

Academic Research:

I note that 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. Each of CPRIT's six scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. No individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1 for example, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not be recommended. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

Thirty-five applications were recommend by the review panels; however, only 34 applications were recommended by the SRC to the PIC.

Product Development Research:

For this cycle, five applications went through due diligence. The Product Development Review Council recommended two of those five applications to the PIC. I note that pursuant to § 702.19(e), Wayne Roberts, Chief Executive Officer, granted Michael Lang, Chief Product Development Officer, a waiver from the general prohibition against communicating with grant applicants. This waiver is applicable to two product development applicants, which were recommended by the Product Development Review Council to the Program Integration Committee. The waiver allowed Mr. Lang to discuss with each applicant the possibility of reducing their budgets; neither applicant was given an unfair advantage.

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 3, 2016 PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered six academic recruitment applications; all six were recommended to move forward to the Oversight Committee. Thirty-four academic research applications were considered by the PIC; 27 applications were recommended to move forward to the Oversight Committee and seven applications were recommended to be deferred until a subsequent FY 2016 PIC meeting. Of the 27 recommended academic research applications, the PIC approved a 20% reduction in budget for each of the recommended MIRA applications. The PIC also considered two Product Development Research applications; both 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.

Academic Research Supporting Information

Items

Review Council Chairman Letter -
Core Facility Support Awards (CFSA)
High-Impact/High-Risk Research Awards (HIHR)
Multi-Investigator Research Awards (MIRA)

Review Council Chairman Letter –
Recruitment of First-Time, Tenure-Track Faculty
Members



Ludwig Institute for
Cancer Research Ltd

March 29, 2016

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

Distinguished Professor of
Cellular & Molecular
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Mr. Pete Geren
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to pgcprit@sidrichardson.org

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the **16.2 Core Facilities Support Awards, High-Impact, High-Risk (HIHR) Research Awards, Multi-Investigator Research Awards (MIRA)** grant mechanisms. The SRC met on Tuesday, March 29, 2016 to consider the applications recommended by the peer review panels following their meetings that were held March 9 – March 16, 2016. During the SRC discussion, it was determined that one MIRA (RP160840) received project scores that were not reflected in the overall score, and it was recommended that this application not be moved forward for funding. This resulted in some applications being recommended for grant awards that received scores less favorable than this one application. The applications on the attached list are numerically ranked in the order the SRC recommends the applications be funded after adjustments were made based on success rates.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The SRC accepted the recommendations of the peer review panels concerning adjustments to three grant applications. These adjustments with justifications are listed at the end of the list of recommended projects. The total amount for the applications recommended is \$81,773,066.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	Organization/Company	Application Title	Budget	Mech	Overall Score
1	RP160805	Baylor College of Medicine	Preclinical Candidate Discovery Core	\$5,999,997	CFSA	1.6
2	RP160813	Acelerox	Nanoparticle Prophylaxis for Protection from Chemotherapy Ototoxicity	\$195,665	HIHR	1.8
3	RP160795	Baylor College of Medicine	A "Pap smear" for ovarian cancer	\$200,000	HIHR	1.8
4	RP160657	The University of Texas at Austin	Targeted Therapeutic Drug Discovery & Development Program	\$4,982,636	CFSA	1.9
5	RP160776	The University of Texas at Austin	Rapid Molecular Diagnosis of Lung Cancer Biopsies by Ambient Ionization Mass Spectrometry	\$200,000	HIHR	1.9
6	RP160884	Baylor College of Medicine	RNA processing stress: a new therapeutic entry point in triple-negative breast cancer	\$200,000	HIHR	2.0
7	RP160847	Texas A&M Engineering Experiment Station	A Body Coil for MR Imaging and Spectroscopy of Cancer at 7 Tesla	\$200,000	HIHR	2.0
8	RP160732	The University of Texas Health Science Center at San Antonio	UTHSCSA Cancer Genome Sequencing and Computation Core	\$3,680,756	CFSA	2.0
9	RP160652	The University of Texas M. D. Anderson Cancer Center	Defining and Defeating Mechanistic Subtypes of KRAS-mutant Lung Cancers	\$7,476,300	MIRA	2.0
10	RP160668*	The University of Texas M. D. Anderson Cancer Center	Pathogenesis and Early Progression of Lung Cancer	\$5,757,844	MIRA	2.0
11	RP160834	Texas A&M University	Integrated-cavity-enhanced pre-screening for lung cancer	\$200,000	HIHR	2.1
12	RP160842	Texas A&M University System Health Science Center	Novel roles for NIK in high-grade glioma: regulation of mitochondrial dynamics to control cell migration and invasion	\$200,000	HIHR	2.1
13	RP160716	The University of Texas Health Science Center at San Antonio	Texas Pediatric Patient Derived Xenograft Facility	\$5,079,843	CFSA	2.1
14	RP160713	The University of Texas Southwestern Medical Center	Amino Acid Sensing: Directing Cell Growth through mTORC1	\$198,983	HIHR	2.1
15	RP160693	The University of Texas M. D. Anderson Cancer Center	Acute Myeloid Leukemia in the Immunosuppressed Microenvironment	\$7,500,000	MIRA	2.2
16	RP160739	The University of Texas M. D. Anderson Cancer Center	Targeting Histone Acetylation Readers in MLL-translocated Leukemias	\$200,000	HIHR	2.2
17	RP160661**	The University of Texas Southwestern Medical Center	Towards Carbon Beam Stereotactic Body Radiation Therapy (C-SBRT) for Higher Risk Early Stage Lung Cancer	\$5,129,867	MIRA	2.2
18	RP160667***	The University of Texas M. D. Anderson Cancer Center	DNA-Protein Crosslink Repair Pathways and Cancer Therapy	\$6,376,645	MIRA	2.4
19	RP160822	Texas AgriLife Research	Exploring Geminivirus-encoded suppressor of histone methyltransferases as an anti-cancer drug	\$199,958	HIHR	2.5
20	RP160866	The University of Texas at Dallas	Renal Clearable Nanodelivery System for Triple Negative Breast Cancer Therapy	\$200,000	HIHR	2.6
21	RP160710	The University of Texas M. D. Anderson Cancer Center	A Randomized Clinical Trial Platform with Translational Studies to Overcome Resistance in Triple Negative Breast Cancer	\$7,497,096	MIRA	2.6
22	RP160806	Texas Tech University	Development of high throughput technology to identify drugs for muscle wasting during cancer	\$199,995	HIHR	2.7
23	RP160674	The University of Texas Medical Branch at Galveston	Comparative Effectiveness Research on Cancer in Texas (CERCIT) 2.0	\$7,500,000	MIRA	2.7
24	RP160827	Texas A&M University System Health Science Center	A platform technology for the isolation of anti-cancer monoclonal antibodies from chickens	\$200,000	HIHR	2.8
25	RP160775	The University of Texas Health Science Center at Houston	Becoming fatter to survive: cancer cells increase lipid storage to counter metabolic stress	\$200,000	HIHR	2.8

26	RP160771****	Baylor College of Medicine	The Adolescent and Childhood Cancer Epidemiology and Susceptibility Service (ACCESS) for Texas	\$6,000,000	CFSA	2.9
27	RP160844*****	The University of Texas at San Antonio	Center for Innovative Drug Discovery: Enhancement of a Shared Cancer Resource for South Texas	\$4,598,728	CFSA	2.9
28	RP160841	The University of Texas Health Science Center at San Antonio	Targeting EWS-FLI-1 for degradation	\$200,000	HIHR	2.9
29	RP160765	Texas A&M University System Health Science Center	An unlikely therapeutic target for malignant bone disease: Dkk-1 activates a stress resistance mechanism in bone tumor cells	\$200,000	HIHR	3.1
30	RP160852	Texas State University - San Marcos	Chemo-preventive Approach to Cancer Exploiting a Presumptive Link between Genomic Instability and Structural Stability of non-B DNA Sequences	\$200,000	HIHR	3.1
31	RP160770	The University of Texas at Dallas	Optical opening of blood-brain barrier for brain tumor drug delivery by plasmonic nanobubbles	\$200,000	HIHR	3.1
32	RP160819	Texas AgriLife Research	Quantitative mapping of intracellular protein-protein interactomes in healthy and cancerous cells	\$198,753	HIHR	3.2
33	RP160704	The University of Texas at Austin	High affinity therapeutic mimotope antibodies to the oncogenic Epidermal Growth Factor Receptor	\$200,000	HIHR	3.2
34	RP160763	The University of Texas Health Science Center at Houston	Targeting multiple myeloma stem cell niche	\$200,000	HIHR	3.2

*RP160668 - The peer review panel recommended the deletion of Project 4 from the MIRA application. As a result, the funds dedicated to that project were removed from the budget for a revised total of \$5,757,844. The final score was based on revised scope with the deletion of Project 4.

**RP160661 - The peer review panel recommended the deletion of Project 3 and Project 4 from the MIRA application. As a result, the funds dedicated to those projects was removed from the budget for a revised total of \$5,129,867. The final score was based on revised scope with the deletion of Projects 3 and 4.

***RP160667 - The peer review panel recommended changes to the MIRA application by modifying Project 2 by deleting Aim 3 and reducing the budget by the amount dedicated to that project. Additionally, the panel recommended reducing the budget for Core 1 by 25%. Finally, the panel recommended reducing Core 2 by \$20,000. These changes resulted in a revised budget totaling of \$6,376,645. The final score was

****RP160771 - The peer review panel recommended the overall budget be reduced to the allowable \$6,000,000 for entire funding period. One required reduction is \$500,000 (\$100,000/year) for pilot projects that were not substantiated. Other reductions can be made based on budget negotiations with CPRIT.

*****RP160844 - The peer review panel recommended reducing the personnel budget by 1/3 (\$507,155), removing \$150,000 for pilot projects, and \$100,000 for a software suite. The revised budget total is \$4,598,728. The final score was based on these budget reductions.

CFSA - Core Facilities Support Awards

HIHR - High-Impact/High-Risk Research Awards

MIRA - Multi-Investigator Research Awards

Ludwig Institute for
Cancer Research Ltd

March 24, 2016

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, March 24, 2016 to consider the applications submitted to CPRIT under the **Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycle REC 16.8. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$4,823,067.

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	RR160047	Omid Veiseh	Recruitment of First-Time, Tenure-Track Faculty Members	Rice University	\$2,000,000	1.2
2	RR160048	Lydia Finley	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.6
3	RR160053	Mark Pellegrino	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas at Arlington	\$823,067	2.0

Ludwig Institute for
Cancer Research Ltd

April 18, 2016

Richard D. Kolodner
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Mr. Pete Geren
Presiding Officer, CPRIT Oversight Committee
Cancer Prevention and Research Institute of Texas
Via email to pgcprit@sidrichardson.org

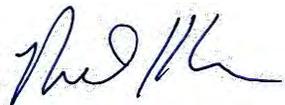
Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.texas.gov

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, April 14, 2016 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 16.9. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$6,000,000.

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	Over all Score
1	RR160055	Charles Kaufman	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$ 2,000,000	2.2
2	RR160057	Reto Fiolka	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$ 2,000,000	2.6
3	RR160062	Myron Ignatius	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Health Science Center at San Antonio	\$ 2,000,000	2.6

Product Development Research Supporting Information

Items

Review Council Chairman Letter -
New Company Product Development Awards

Advance Funds Request Letter .



April 18, 2016

Pete Geren
Oversight Committee Chair
Cancer Prevention and Research Institute of Texas
Via email to pgeren@sidrichardson.org

Wayne R. Roberts
Chief Executive Office and Program Integration Committee Chairman
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cpriti.texas.gov

Dear Mr. Geren and Mr. Roberts:

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research grant awards. The companies on the attached list submitted proposals in response to CPRIT requests for application (RFA) released for the first cycle of FY2016. The PDRC recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards to Pelican Therapeutics (Pelican) and Salarius Pharmaceuticals (Salarius). The projects are ranked in the order the PDRC recommends that the applications be funded. Maximum recommended funding amounts and the overall evaluation score are stated for each grant application on the attached table.

The PDRC's recommendations are based on the acceptance of certain contingencies and additional goals and objectives, which are recorded in the "Application Review Recommendations and Changes" forms completed during the review process. These contingencies/goals and objectives should be included in the award contract. In addition, the PDRC understands that CPRIT plans to implement a process for the Chief Product Development Officer to negotiate budgets with the companies prior to the Program Integration Committee's consideration of this recommendation. We support the use of this process to identify any budget items that may be reduced or eliminated.

Each recommendation reflects 50+ hours of individual review and panel discussion of the applicant's proposal as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to: 1.) bring important products to market; 2.) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and 3.) develop tools and technologies of special relevance to cancer research, treatment and prevention.

Sincerely,

A handwritten signature in black ink, appearing to read "Jack Balthus". The signature is written in a cursive style with a large, looping initial "J".

/JG/

Jack Geltosky, PhD
Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations*

FY 2016, Cycle 1

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP160014	Salarius Pharmaceuticals	Developing Epigenetic Drugs that treat Rare Pediatric Cancers	\$18,893,395	2.0
2	DP160012	Pelican Therapeutics	Developing Killer T cell therapy for multiple cancers	\$17,940,143	2.3

*These recommendations are subject to the company's acceptance of certain contract contingencies and/or additional goals and objectives.



CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

May 12, 2016

Oversight Committee Members,

Pursuant to 25 T.A.C. § 703.7(j), I request that the Oversight Committee approve authority for CPRIT to advance grant funds upon execution of grant contracts for two companies that will be considered for Product Development grant awards at the May 18, 2016, Oversight Committee meeting. The companies have been recommended for grant awards by the Program Integration Committee (PIC). The Oversight Committee will consider the PIC's recommendations at the May 18, 2016, Oversight Committee meeting.

Although CPRIT disburses the majority of grant funds pursuant to requests for reimbursement, CPRIT may disburse grant funds in advance payments consistent with the General Appropriations Act, Article IX, § 4.03(a). Typically, the grant amount to be paid in advance is based upon the project year budget or tranche amount. All grant recipients, including those that receive advance payment of grant funds, are required to submit quarterly financial status reports that are reviewed and approved by CPRIT's financial staff. Failure to submit the financial status reports on a timely basis will result in forfeiture of reimbursement for expenses for the quarter and may result in grant termination and repayment of grant funds.

Advance payment of grant funds are needed because compound synthesis and pre-clinical trial contracts typically require substantial upfront payments. The cost structure for these contracted services is highly front loaded. Hence service providers require substantial upfront payments.

Sincerely,

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

Wayne R. Roberts,
CPRIT Chief Executive Officer



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycle 2
Core Facilities Support Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-16-CFSA-2

Core Facilities Support Awards

Please also refer to the “Instructions for Applicants” document, which
will be posted August 11, 2015.

Application Receipt Opening Date: August 11, 2015

Application Receipt Closing Date: October 13, 2015

FY 2016

Fiscal Year Award Period

September 1, 2015–August 31, 2016

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RFA VERSION HISTORY

Rev 07/06/15 RFA release

1. ABOUT CPRIT

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

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

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

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

Core Facility Support Awards seek to facilitate the development or improvement of core facilities that will provide valuable services to support and enhance scientifically meritorious cancer research projects. A user group of Texas-based investigators must be identified, each of

whom should have supported cancer research projects that will make use of the requested facility. This requirement is not intended to exclude early career–stage investigators who have not yet secured peer-reviewed grant support. Successful applicants should be working in a research environment capable of supporting potentially high-impact cancer studies.

3. RESEARCH OBJECTIVES

CPRIT will foster cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This RFA solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.

CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to survivorship. To fulfill this vision, applications may address any topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, cure, or quality of life. This award provides cancer researchers access to appropriate research infrastructure, instrumentation, and technical expertise necessary to achieve their research objectives. A wide variety of facilities can be supported, including, but not limited to, chemistry, high-throughput screening, biomedical imaging, proteomics, protein structure, molecular biology, genomics, metabolomics, animal physiology/metabolism, cell sorting, bioengineering, clinical research support, bioinformatics, and the like. Funds may be requested to develop a new facility or to enhance the capabilities of an existing facility that will directly support and impact cancer research programs at the institution and in the region.

4. FUNDING INFORMATION

The maximum duration for this award mechanism is 5 years. Applicants may request a maximum of \$3,000,000 in total costs for the first 2 years and up to \$1,000,000 in total costs for each subsequent year. Exceptions to these limits may be granted, but only if exceptionally well justified. Allowable expenses include the cost of instruments (preferably expended in the first 2 years), installation and/or necessary renovation expenses in the first year (installation/renovation expenses not to exceed 10% of the total first-year request), and maintenance/service contracts. Installation/renovation expenses can be requested in the first year only. Equipment should be purchased within the first 2 years. In addition, applicants may request salary support and fringe benefits for the facility director, data analysts, and technical staff; travel to scientific/technical

meetings or collaborating institutions is also an allowable expense for these individuals. *All of these costs and expenses must be prorated for direct use in cancer research efforts.* Also allowable are funds to support the use of the facility by qualified cancer research investigators for relevant projects (research supplies and services, clinical research costs, etc). Institutions must describe the process to be used to disburse funds to support use of the facility by cancer investigators. Finally, some fraction of available funds may be used by the facility director for development of new or improved approaches to technical challenges. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization 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; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Program.
- The Principal Investigator (PI) must be the director of the facility and must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted. The PI should also hold a faculty position, preferably at the level of associate or full professor or the equivalent.
- This award must be directed by the PI. Co-PIs are not permitted.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds. In no event shall equipment purchased under this award leave the state of Texas.
- An institution may submit only 1 new or resubmission application under this RFA during this funding cycle. An exception will be made for institutions submitting applications for core facilities that support research directed toward childhood and adolescent cancer; in this case, institutions may submit 1 childhood and adolescent cancer application and 1 additional application in another aspect of cancer research (new or resubmission). For

purposes of this RFA, an institution is defined as that component of a university system that has a geographically distinct campus. A PI may only resubmit an application that was previously not funded once (see [section 6](#)).

- Support for only 1 facility may be requested per application. Collaborative applications among institutions are permitted. However, such collaboration must not be used as a pretext for supporting more than 1 facility at a given institution. Further, applicants must not attempt to assemble illogical technical combinations and capabilities under one roof. Examples of illogical combinations would include protein mass spectrometry with DNA sequencing or light microscopy with magnetic resonance imaging.
- The coherence of the facility and the ability of the PI/facility director to oversee all of the facility's operations will be critical components of the review process. If support is requested for an existing facility, applicants must make it clear how CPRIT support will enhance its capabilities and improve access for cancer investigators rather than simply replace ongoing institutional support.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, 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 PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds because of scientific misconduct or fraud 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 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed core facility is the same as that presented in the original submission. A change in the identity of the PI for a core facility or a change of title of the facility that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date. See [section 8.2.5](#).

7. RENEWAL POLICY

Renewal applications will not be accepted in response to this RFA. Renewal applications should be submitted in response to RFA R-17-CFSA-1.

8. RESPONDING TO THIS RFA

8.1. 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 was submitted. The PI must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (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 beginning at 7 AM central time on August 11, 2015, and must be submitted by 3 PM central time on October 13, 2015. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. 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 rejected without review.

8.2.1. Abstract and Significance (5,000 characters)

Clearly explain the proposed program, including a summary of the facility to be developed, an outline of the goals of the research projects that will be supported, and an overview of institutional infrastructure and commitment. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the Core Facility Plan. Clearly address how the proposed project, if successful, will have a major impact on cancer.

Note: It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem, that better diagnostic and therapeutic approaches are needed urgently, or that the type of cancer of interest to the PI is important, vexing, or deadly).

8.2.2. Layperson's Summary (2,000 characters)

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding.

Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 9.1](#)) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

8.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. 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.

8.2.5. Institutional Support (2 pages)

Each application must be accompanied by a letter of institutional support from the president or provost or equivalent indicating commitment to the program and certifying that this is the sole application submitted by this institution in response to this RFA. Furthermore, the letter should indicate support of the facility for activities not related to cancer research. An additional letter should be submitted by the person to whom the facility director reports, ensuring that the facility will be operated in a superior fashion and discussing how this will be ascertained.

8.2.6. Resubmission Summary (1 page)

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh Core Facility Plan or modify the original Core Facility Plan and mark the changes.

However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

8.2.7. Core Facility Plan (5 pages)

Background: Present the rationale and need for the facility, emphasizing the pressing problems in cancer research that will be addressed.

Instrument Details: Provide details of the equipment/instruments, if any, that will be acquired.

Technical Expertise: Describe the qualifications of the facility director and other key personnel that make them suitable to oversee the establishment and operations of the facility.

Administrative Plan: Clearly describe the plan under which the operation, sharing, time allocation, and maintenance of the facility will be administered.

Training Plan: Describe the plan to train users to use the facility and also to evaluate the results obtained.

8.2.8. Vertebrate Animals and/or Human Subjects (1 page)

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

8.2.9. Publications/References

Provide a concise and relevant list of publications/references cited for the application.

8.2.10. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. Reasonable budgets clearly work in favor of the applicant.

However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the

budget justification that explains the request. Poorly justified requests of this type will likely have a negative impact on the overall evaluation of the application.

In preparing the requested budget, applicants should be aware of the following:

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2016 is \$200,000; CPRIT FY 2016 is from September 1, 2015, through August 31, 2016. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

8.2.11. User Group (8 pages)

Provide concise descriptions of the research projects of major users of the facility. Provide a tabular summary of all users of the requested facility. List the names of all researchers, their academic appointment and affiliation, funded project title(s)/number(s) (wherever applicable), a brief description of the project(s), and approximate percentage use of the facility for direct use in cancer research efforts.

8.2.12. Biographical Sketches (2 pages each)

The PI should provide a biographical sketch that describes his/her education and training, professional experience, awards and honors, and publications relevant to cancer research.

A biographical sketch must be provided for the PI (as required by the online application receipt

system). Up to 5 additional biographical sketches for key personnel from the user group may be provided. Each biographical sketch must not exceed 2 pages.

8.2.13. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI must be provided.

8.2.14. Institutional/Collaborator Support and/or Other Certification (4 pages)

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 4 pages may be provided.

8.2.15. Previous Summary Statement

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

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

9. APPLICATION REVIEW

9.1. Review Process Overview

All eligible applications will be evaluated using a 2-stage peer review process: (1) Peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers, using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by the Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT

Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

9.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, 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 Peer Review Panel members and Scientific Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **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, a Scientific Review Panel 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 Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when RFAs are announced and CARS opens. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.3. Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

9.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the request for the instrument/equipment. Primary criteria include the following:

Justification of Need/Value: Is the need for the facility justified? Is it necessary and appropriate for the research projects? Will the state-of-the-art facility directly support and impact cancer research programs at the institution and in the region? How will the availability of the facility offer incipient research projects by investigators at various career stages the opportunity to develop? Will the facility make the user group more competitive for external funding?

Quality and Significance of research projects supported: Does the facility support a significant number of different, independently funded users? Are the projects at the forefront of cancer research? Are the projects of significance in reducing cancer incidence, morbidity, or mortality?

Technical Expertise: Is there sufficient technical expertise for optimal use of the facility? How well qualified is the user group to take optimal advantage of the facility and evaluate the research results for the proposed projects? How will the facility be maintained? Is there a satisfactory training plan for new users?

Administration: Is there assurance that the facility will be managed and operated in a superior fashion? To whom does the facility director report? Is that person committed to appropriate oversight (a letter of commitment should be submitted)? Is there an adequate plan for the management of the facility, including an appropriate system for charging for services and subsidy of user fees for specific cancer-related projects and individuals (especially early career-stage investigators)? How will facility time be allocated among the projects? Have biosafety

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

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

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

12. 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 demonstration of available funding.

13. CONTACT INFORMATION

13.1. 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 are not in a position to answer questions regarding scientific aspects of applications.

Dates of operation: July 6 to October 13, 2015 (excluding public holidays)

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

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Research Peer Review Observation Report

Report #2016-03-11-RES

Program Name: Academic Research

Panel Name: FY16.2 Imaging Technology and
Informatics

Panel Date: March 11, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY16 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 11, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on March 11, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-9/10-RES

Program Name: Academic Research

Panel Name: FY16.2 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: March 9, 2016 to March 10, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY16 funding. The meeting was chaired by Margaret Tempero and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 9 through March 10, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Margaret Tempero on March 9 through March 10, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-seven peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 9, 2016. Twenty-nine peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 10, 2016.
 - On the first day of the peer review panel, three of the twenty-seven peer review panelists participated via teleconference.
 - On the second day of the peer review panel, three of the twenty-nine peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for eight conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-09-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Prevention Research

Panel Date: March 9, 2016

Report Date: March 18, 2016

Background

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

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY16 funding. The meeting was chaired by Tom Sellers and held via teleconference on March 9, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on March 9, 2016.

The independent observer noted the following during our observation:

- Five applications were discussed within the Research Peer Review Meeting to determine which grants would receive CPRIT funding.
- Sixteen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-15-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Biology

Panel Date: March 15, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY16 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on March 15, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on March 15, 2016.

The independent observer noted the following during our observation:

- Seventeen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - Six of the twenty peer review panelists participated via teleconference.
- Ten conflicts of interest were identified prior to or during the meeting. Applications for four conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-16-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 2

Panel Date: March 16, 2016

Report Date: March 25, 2016

Background

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

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY16 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on March 16, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on March 16, 2016.

The independent observer noted the following during our observation:

- Nine applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Seventeen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-14-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 1

Panel Date: March 14, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY16 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on March 14, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on March 14, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. None of the applications with conflicts were discussed during the peer review panel.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Scientific Review Council Meeting Observation Report

Report #2016-03-29-RES

Program Name: Academic Research

Panel Name: FY16.2 Scientific Review Council
Meeting

Panel Date: March 29, 2016

Report Date: April 5, 2016

Background

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

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on March 29, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on March 29, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 35 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Six peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Noted Conflicts of Interest

**Conflicts of Interest for Academic Research Cycle 16.2 Applications
(Academic Research Cycle 16.2 Awards Announced at May 18, 2016, 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 Cycle 16.2 include *High Impact/High Risk Research Awards*, *Core Facilities Support Awards*, and *Multi-Investigator Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
No conflicts reported			
Applications not considered by the PIC or Oversight Committee			
RP160703*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-AC*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-C1*	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P1*	MacDonald, Raymond	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P2*	Wilkie, Thomas	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P3*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P4*	Boothman, David	The University of Texas Southwestern Medical Center	Prendergast, George

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160767*	Ghosh, Rita	The University of Texas Health Science Center at San Antonio	Houchens, David
RP160768*	Srivenugopal, Kalkunte	Texas Tech University Health Sciences Center	Wang, Xiao-Fan
RP160774*	Li, Bing	The University of Texas Southwestern Medical Center	Petrini, John
RP160782*	Suh, Junghae	Rice University	Weitzman, Matthew
RP160835	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-AC	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-C1	Zong, Chenghang	Baylor College of Medicine	Petrini, John
RP160835-P1	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-P2	Miller, Kyle	The University of Texas at Austin	Petrini, John
RP160835-P3	Scott, Kenneth	Baylor College of Medicine	Petrini, John
RP160655*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-AC*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-C1*	Wang, Jing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P1*	Wu, Xifeng	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P2*	Ji, Lin	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P3*	Calin, George	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160705*	Orlowski, Robert	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160739	Shi, Xiaobing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160760*	Sikora, Andrew	Baylor College of Medicine	Costello, Joseph; Wahl, Geoffrey
RP160765	Gregory, Carl	Texas A&M University Health Science Center	Fearon, Eric; Lawlor, Elizabeth
RP160769	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-AC	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-C1	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey
RP160840-C2	Farach-Carson, Mary	Rice University	Greene, Geoffrey
RP160840-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-P3	Weigel, Nancy	Baylor College of Medicine	Greene, Geoffrey
RP160856	Kim, Jung-whan	The University of Texas at Dallas	Werb, Zena
RP160661	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-AC	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-C1	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P1	Yang, Ming	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P2	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P3	Shao, Yiping	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P4	Lu, Weigno	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P5	Wang, Jing	The University of Texas Southwestern Medical Center	Koong, Albert

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160663*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-AC*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C1*	Overwijk, Willem	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C2*	Piwnica-Worms, David	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P1*	Liu, Jinsong	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P2*	Sood, Anil	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P3*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160672	Woodman, Scott	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160679*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-AC*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C1*	Kapur, Payal	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C2*	Xie, Xian-Jin	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C3*	Pedrosa, Ivan	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P1*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P2*	Timmerman, Robert	The University of Texas Southwestern Medical Center	Koong, Albert

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160679-P3*	Mani, Ram	The University of Texas Southwestern Medical Center	Koong, Albert
RP160693	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-AC	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C1	Kornblau, Stephen	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C2	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C3	Do, Kim-Anh	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P1	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P2	Rezvani, Katy	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P3	Gottschalk, Stephen	Baylor College of Medicine	DePersio, John
RP160710	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-AC	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-C1	Moulder, Stacy	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-C2	Davies, Peter	Texas A&M University Health Science Center Institute of Biosciences and Technolofy	Kast, W. Martin; Niedzwiecki, Donna
RP160710-C3	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-P1	Thompson, Alastarr	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160710-P2	Hong, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-P3	Mani, Sendurai	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160724*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-AC*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-C1*	Saha, Debabrata	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P1*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P2*	Aroumougame, Asaithamby	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P3*	Chen, Ping-Chi	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P4*	Hannan, Raquibul	The University of Texas Southwestern Medical Center	Koong, Albert
RP160745	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-AC	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-C1	Rosen, Daniel	Baylor Research Institute	Kast, W. Martin
RP160745-C2	Becnel, Lauren	Baylor Research Institute	Kast, W. Martin
RP160745-P1	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-P2	Wheeler, David	Baylor Research Institute	Kast, W. Martin
RP160745-P3	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160826	Fleming, Jason	The University of Texas M.D. Anderson Cancer Center	Prados, Michael

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160843*	Chang, Jenny	The Methodist Hospital Research Institute	Curran, Walter
RP160864*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-AC*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-C1*	Liu, Xuewu	Houston Methodist	Riddell, Stanley
RP160864-C2*	Gee, Adrian	Baylor College of Medicine	Riddell, Stanley
RP160864-P1*	Shen, Haifa	Houston Methodist	Riddell, Stanley
RP160864-P2*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-P3*	Rooney, Cliona	Baylor College of Medicine	Riddell, Stanley
RP160697*	Kundra, Vikas	The University of Texas M.D. Anderson Cancer Center	Johnson, G. Allan
RP160702	Mancini, Michael	Texas A&M University System Health Science Center	Basillion, James
RP160718	Betancourt, Tania	Texas State University-San Marcos	Berbeen, Ross
RP16074	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-C1	Elting, Linda	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C2	Peterson, Susan	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P2	Glordano, Sharon	The University of Texas M.D. Anderson Cancer Center	Barlow, William

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP16074-P3	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-P4	Guadagnolo, Beverly	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160735	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-AC	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-C1	Glickman, Randolph	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-C2	Tiziani, Stefano	The University of Texas at Austin	Barlow, William
RP160735-C3	Gelfond, Jonathan	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P1	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-P2	Slaga, Thomas	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P3	Kumar, Pratap	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P4	Thompson, Ian	The University of Texas Health Science Center at San Antonio	Barlow, William

De-Identified Overall Evaluation Scores

Core Facilities Support Awards

Academic Research Cycle 16.2

Application ID	Final Overall Evaluation Score
RP160805*	1.6
RP160657*	1.9
RP160732*	2.0
RP160716*	2.1
am	2.9
an	2.9
aa	3.4
ab	3.6
ac	3.7
ad	3.7
ae	3.8
af	3.9
ag	4.0
ah	4.0
ai	4.0
aj	4.0
ak	4.2
al	5.3

The highlighted applications were recommended by the Scientific Review Council but were deferred by the Program Integration Committee.

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

Ludwig Institute for
Cancer Research Ltd

March 29, 2016

Richard D. Kolodner
Ph.D.

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Head, Laboratory of
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San Diego Branch

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the **16.2 Core Facilities Support Awards, High-Impact, High-Risk (HIHR) Research Awards, Multi-Investigator Research Awards (MIRA)** grant mechanisms. The SRC met on Tuesday, March 29, 2016 to consider the applications recommended by the peer review panels following their meetings that were held March 9 – March 16, 2016. During the SRC discussion, it was determined that one MIRA (RP160840) received project scores that were not reflected in the overall score, and it was recommended that this application not be moved forward for funding. This resulted in some applications being recommended for grant awards that received scores less favorable than this one application. The applications on the attached list are numerically ranked in the order the SRC recommends the applications be funded after adjustments were made based on success rates.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The SRC accepted the recommendations of the peer review panels concerning adjustments to three grant applications. These adjustments with justifications are listed at the end of the list of recommended projects. The total amount for the applications recommended is \$81,773,066.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	Organization/Company	Application Title	Budget	Mech	Overall Score
1	RP160805	Baylor College of Medicine	Preclinical Candidate Discovery Core	\$5,999,997	CFSA	1.6
2	RP160813	Acelerox	Nanoparticle Prophylaxis for Protection from Chemotherapy Ototoxicity	\$195,665	HIHR	1.8
3	RP160795	Baylor College of Medicine	A "Pap smear" for ovarian cancer	\$200,000	HIHR	1.8
4	RP160657	The University of Texas at Austin	Targeted Therapeutic Drug Discovery & Development Program	\$4,982,636	CFSA	1.9
5	RP160776	The University of Texas at Austin	Rapid Molecular Diagnosis of Lung Cancer Biopsies by Ambient Ionization Mass Spectrometry	\$200,000	HIHR	1.9
6	RP160884	Baylor College of Medicine	RNA processing stress: a new therapeutic entry point in triple-negative breast cancer	\$200,000	HIHR	2.0
7	RP160847	Texas A&M Engineering Experiment Station	A Body Coil for MR Imaging and Spectroscopy of Cancer at 7 Tesla	\$200,000	HIHR	2.0
8	RP160732	The University of Texas Health Science Center at San Antonio	UTHSCSA Cancer Genome Sequencing and Computation Core	\$3,680,756	CFSA	2.0
9	RP160652	The University of Texas M. D. Anderson Cancer Center	Defining and Defeating Mechanistic Subtypes of KRAS-mutant Lung Cancers	\$7,476,300	MIRA	2.0
10	RP160668*	The University of Texas M. D. Anderson Cancer Center	Pathogenesis and Early Progression of Lung Cancer	\$5,757,844	MIRA	2.0
11	RP160834	Texas A&M University	Integrated-cavity-enhanced pre-screening for lung cancer	\$200,000	HIHR	2.1
12	RP160842	Texas A&M University System Health Science Center	Novel roles for NIK in high-grade glioma: regulation of mitochondrial dynamics to control cell migration and invasion	\$200,000	HIHR	2.1
13	RP160716	The University of Texas Health Science Center at San Antonio	Texas Pediatric Patient Derived Xenograft Facility	\$5,079,843	CFSA	2.1
14	RP160713	The University of Texas Southwestern Medical Center	Amino Acid Sensing: Directing Cell Growth through mTORC1	\$198,983	HIHR	2.1
15	RP160693	The University of Texas M. D. Anderson Cancer Center	Acute Myeloid Leukemia in the Immunosuppressed Microenvironment	\$7,500,000	MIRA	2.2
16	RP160739	The University of Texas M. D. Anderson Cancer Center	Targeting Histone Acetylation Readers in MLL-translocated Leukemias	\$200,000	HIHR	2.2
17	RP160661**	The University of Texas Southwestern Medical Center	Towards Carbon Beam Stereotactic Body Radiation Therapy (C-SBRT) for Higher Risk Early Stage Lung Cancer	\$5,129,867	MIRA	2.2
18	RP160667***	The University of Texas M. D. Anderson Cancer Center	DNA-Protein Crosslink Repair Pathways and Cancer Therapy	\$6,376,645	MIRA	2.4
19	RP160822	Texas AgriLife Research	Exploring Geminivirus-encoded suppressor of histone methyltransferases as an anti-cancer drug	\$199,958	HIHR	2.5
20	RP160866	The University of Texas at Dallas	Renal Clearable Nanodelivery System for Triple Negative Breast Cancer Therapy	\$200,000	HIHR	2.6
21	RP160710	The University of Texas M. D. Anderson Cancer Center	A Randomized Clinical Trial Platform with Translational Studies to Overcome Resistance in Triple Negative Breast Cancer	\$7,497,096	MIRA	2.6
22	RP160806	Texas Tech University	Development of high throughput technology to identify drugs for muscle wasting during cancer	\$199,995	HIHR	2.7
23	RP160674	The University of Texas Medical Branch at Galveston	Comparative Effectiveness Research on Cancer in Texas (CERCIT) 2.0	\$7,500,000	MIRA	2.7
24	RP160827	Texas A&M University System Health Science Center	A platform technology for the isolation of anti-cancer monoclonal antibodies from chickens	\$200,000	HIHR	2.8
25	RP160775	The University of Texas Health Science Center at Houston	Becoming fatter to survive: cancer cells increase lipid storage to counter metabolic stress	\$200,000	HIHR	2.8

26	RP160771****	Baylor College of Medicine	The Adolescent and Childhood Cancer Epidemiology and Susceptibility Service (ACCESS) for Texas	\$6,000,000	CFSA	2.9
27	RP160844*****	The University of Texas at San Antonio	Center for Innovative Drug Discovery: Enhancement of a Shared Cancer Resource for South Texas	\$4,598,728	CFSA	2.9
28	RP160841	The University of Texas Health Science Center at San Antonio	Targeting EWS-FLI-1 for degradation	\$200,000	HIHR	2.9
29	RP160765	Texas A&M University System Health Science Center	An unlikely therapeutic target for malignant bone disease: Dkk-1 activates a stress resistance mechanism in bone tumor cells	\$200,000	HIHR	3.1
30	RP160852	Texas State University - San Marcos	Chemo-preventive Approach to Cancer Exploiting a Presumptive Link between Genomic Instability and Structural Stability of non-B DNA Sequences	\$200,000	HIHR	3.1
31	RP160770	The University of Texas at Dallas	Optical opening of blood-brain barrier for brain tumor drug delivery by plasmonic nanobubbles	\$200,000	HIHR	3.1
32	RP160819	Texas AgriLife Research	Quantitative mapping of intracellular protein-protein interactomes in healthy and cancerous cells	\$198,753	HIHR	3.2
33	RP160704	The University of Texas at Austin	High affinity therapeutic mimotope antibodies to the oncogenic Epidermal Growth Factor Receptor	\$200,000	HIHR	3.2
34	RP160763	The University of Texas Health Science Center at Houston	Targeting multiple myeloma stem cell niche	\$200,000	HIHR	3.2

*RP160668 - The peer review panel recommended the deletion of Project 4 from the MIRA application. As a result, the funds dedicated to that project were removed from the budget for a revised total of \$5,757,844. The final score was based on revised scope with the deletion of Project 4.

**RP160661 - The peer review panel recommended the deletion of Project 3 and Project 4 from the MIRA application. As a result, the funds dedicated to those projects was removed from the budget for a revised total of \$5,129,867. The final score was based on revised scope with the deletion of Projects 3 and 4.

***RP160667 - The peer review panel recommended changes to the MIRA application by modifying Project 2 by deleting Aim 3 and reducing the budget by the amount dedicated to that project. Additionally, the panel recommended reducing the budget for Core 1 by 25%. Finally, the panel recommended reducing Core 2 by \$20,000. These changes resulted in a revised budget totaling of \$6,376,645. The final score was

****RP160771 - The peer review panel recommended the overall budget be reduced to the allowable \$6,000,000 for entire funding period. One required reduction is \$500,000 (\$100,000/year) for pilot projects that were not substantiated. Other reductions can be made based on budget negotiations with CPRIT.

*****RP160844 - The peer review panel recommended reducing the personnel budget by 1/3 (\$507,155), removing \$150,000 for pilot projects, and \$100,000 for a software suite. The revised budget total is \$4,598,728. The final score was based on these budget reductions.

CFSA - Core Facilities Support Awards

HIHR - High-Impact/High-Risk Research Awards

MIRA - Multi-Investigator Research Awards



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycle 2
High-Impact/High-Risk Research Awards

Request for Applications



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-HIHR-2

High-Impact/High-Risk Research Awards

Please also refer to the “Instructions for Applicants” document, which will be posted August 11, 2015

Applications for this award mechanism are subject to institutional limits.

Applicants are advised to consult with their institution’s Office of Research and Sponsored Programs (or equivalent).

Application Receipt Opening Date: August 11, 2015

Application Receipt Closing Date: October 13, 2015

FY 2016

Fiscal Year Award Period

September 1, 2015–August 31, 2016

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RFA VERSION HISTORY

Rev 07/06/15 RFA release

1. ABOUT CPRIT

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

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

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

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

CPRIT High-Impact/High-Risk (HIHR) Research Awards seek to provide short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new

insights into the etiology, diagnosis, treatment, or prevention of cancers. Because HIHR Research Awards are designed to support new ideas, preliminary data are not required. Using this mechanism, CPRIT intends to support innovative, developmental projects that focus on exceptionally promising topics that are not yet sufficiently mature to compete successfully for more conventional funding. The HIHR Research Awards are expected to provide the foundation for individual or multiple investigator awards upon completion. Applicants must explain why more conventional sources of support are not available for the proposed research and how short-term funding will lead to strong applications for additional support.

Applications that might be described as “mini-R01s” will not be competitive. **The goal of this award mechanism is to fund uncommonly great ideas that merit the opportunity to acquire preliminary data. There should be reasons for the idea to be plausible, but CPRIT acknowledges that most of the selected projects will ultimately fail to meet their primary goals. The rare proposals that succeed will be of sufficient importance to justify this program.** Applications may address any research topic related to cancer biology, causation, prevention, detection, screening, treatment, or survivorship.

3. RESEARCH OBJECTIVES

Areas of interest include laboratory research, translational studies, and population-based and/or clinical investigations. In that cancers arise from a large number of derangements of basic molecular and cellular functions, which, in turn, cause many alterations in basic biological processes, almost any aspect of biology may be relevant to cancer research, more or less directly. The *degree of relevance* to cancer research will be an important criterion for evaluation of projects for funding by CPRIT ([section 8.3.1](#)). For example, are alterations in the process in question *primarily* responsible for oncogenesis or secondary manifestations of malignant transformation? Will understanding the process or interfering with it offer selective and useful insight into prevention, diagnosis, or treatment of cancer? *Successful applicants for funding from CPRIT will have addressed these questions satisfactorily.*

4. FUNDING INFORMATION

Applicants may request a total of \$200,000 for a period of up to 24 months (2 years), inclusive of both direct and indirect costs. Because of the nature of this funding mechanism, renewal applications will not be accepted. Follow-on applications will not be funded until the time

requested for the HHR Research Award has passed. Award funds may be used to pay for salary and benefits, research supplies, equipment, and clinical costs. Requests for funds for travel to scientific meetings are not appropriate for this funding mechanism, nor are requests for funds to support construction and/or renovation. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is also eligible for funding under this award mechanism.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent and reside in Texas for the period of the time that the research that is the subject of the grant is conducted.
- A PI may submit only 1 new or resubmission application under this RFA during this funding cycle.
- One Co-PI may be included. An individual may serve as a Co-PI in more than 1 application but should ensure that he or she could dedicate adequate time and effort should more than 1 application be funded.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, 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 PI, 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 PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to 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.state.tx.us.

6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. This policy is in effect for all applications submitted to date. See [section 7.2.5](#).

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 was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants

Contract/Office of Sponsored Projects Official (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 beginning at 7 AM central time on August 11, 2015, and must be submitted by 3 PM central time on October 13, 2015. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grant applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

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 that do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

7.2.1. Abstract and Significance (5,000 characters)

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract, although they need not be restated verbatim from the Research Plan. Clearly address how the proposed project, if successful, will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed research creates new paradigms or challenges existing ones.

7.2.2. Layperson's Summary (2,000 characters)

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer prevention research,

early diagnosis, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 8.1](#)) in evaluating the significance and impact of the proposed work.

7.2.3. Goals and Objectives

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

7.2.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. 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.

7.2.5. Resubmission Summary (1 page)

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh Research Plan or modify the original Research Plan and mark the changes. However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

7.2.6. Research Plan (4 pages)

Background: Present the rationale behind the proposed project, emphasizing the pressing problem in cancer research that will be addressed. Preliminary data are not required, but strong reasoning and literature support will obviously enhance the application.

Hypothesis and Specific Aims: Concisely state the hypothesis and/or specific aims to be tested or addressed by the research described in the application.

Research Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data that support the proposed hypothesis are encouraged but not required.

7.2.7. Vertebrate Animals and/or Human Subjects (1 page)

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

7.2.8. Publications/References

Provide a concise and relevant list of publications/references cited for the application.

7.2.9. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applications requesting more than \$200,000 (total costs) over a maximum period of 24 months (2 years) will be administratively withdrawn.

In preparing the requested budget, applicants should be aware of the following:

- Major equipment purchases are discouraged for this funding mechanism. Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available

at www.cprit.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees; etc) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.

7.2.10. Biographical Sketches (2 pages each)

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 2 pages.

7.2.11. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided.

7.2.12. Institutional/Collaborator Support and/or Other Certification (2 pages)

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 2 pages may be provided.

7.2.13. Previous Summary Statement

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

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

7.2.14. Institutional Limits

Because a large number of submissions is anticipated, and to ensure timely and high-quality review of the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, CPRIT is imposing a limit on the number of HIHR Research Award applications that may be submitted by an institution during this review cycle.

The limit on the number of applications may seem restrictive, but experience indicates that truly innovative ideas that are appropriate for this award mechanism are uncommon. CPRIT expects institutions to initiate an internal review process and only authorize submission of the appropriate number of applications that have been rigorously judged to be responsive to this RFA. Institutional limits (which need not be fully used) are as follows: University of Texas M. D. Anderson Cancer Center, 10; Baylor College of Medicine, 10; University of Texas Southwestern Medical Center, 10; University of Texas Health Science Center at San Antonio, 10; University of Texas Health Science Center at Houston, 10; University of Texas at Austin, 10; University of Texas Medical Branch, 10; Texas A&M University, 10; Texas A&M University Health Science Center, 10; Texas Tech University, 10; Texas Tech University Health Sciences Center, 5; Texas Tech University Health Sciences Center at El Paso, 5; all others academic research institutions, 5 each; public or private companies, 1 each.

8. APPLICATION REVIEW

8.1. Review Process Overview

All eligible applications will be evaluated using a 2-stage peer review process: (1) Peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers, using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by the Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding.

The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

8.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, 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 Peer Review Panel members and Scientific Review Council members are non-Texas residents. An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **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, a Scientific Review Panel 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 Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application.

The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. 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

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

8.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

Significance and Impact: Is the application clearly responsive to the RFA and specifically to the HHR Research Award mechanism? What is the innovative potential of the project? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Responsive applications will be highly speculative or exploratory; they need not be based on preliminary data but must have the potential for high scientific payoff because of exceptionally promising ideas.

Research Plan: Is the proposed work presented as a self-contained research project? Does the proposed research have a clearly defined hypothesis or goal that is supported by a sound scientific rationale? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed?

Applicant Investigator: Does the applicant investigator demonstrate the required creativity, expertise, experience, and accomplishments to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage-specific fashion. Have early career-

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

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

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate.

Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of award contract. Forms and instructions will be made available at www.cprit.state.tx.us.

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

HelpDesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. HelpDesk staff 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 any other funding opportunity, should be directed to the CPRIT Research Program Director.

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Research Peer Review Observation Report

Report #2016-03-11-RES

Program Name: Academic Research

Panel Name: FY16.2 Imaging Technology and
Informatics

Panel Date: March 11, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY16 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 11, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on March 11, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-9/10-RES

Program Name: Academic Research

Panel Name: FY16.2 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: March 9, 2016 to March 10, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY16 funding. The meeting was chaired by Margaret Tempero and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 9 through March 10, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Margaret Tempero on March 9 through March 10, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-seven peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 9, 2016. Twenty-nine peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 10, 2016.
 - On the first day of the peer review panel, three of the twenty-seven peer review panelists participated via teleconference.
 - On the second day of the peer review panel, three of the twenty-nine peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for eight conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-09-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Prevention Research

Panel Date: March 9, 2016

Report Date: March 18, 2016

Background

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

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY16 funding. The meeting was chaired by Tom Sellers and held via teleconference on March 9, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on March 9, 2016.

The independent observer noted the following during our observation:

- Five applications were discussed within the Research Peer Review Meeting to determine which grants would receive CPRIT funding.
- Sixteen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-15-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Biology

Panel Date: March 15, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY16 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on March 15, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on March 15, 2016.

The independent observer noted the following during our observation:

- Seventeen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - Six of the twenty peer review panelists participated via teleconference.
- Ten conflicts of interest were identified prior to or during the meeting. Applications for four conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-16-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 2

Panel Date: March 16, 2016

Report Date: March 25, 2016

Background

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

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY16 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on March 16, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on March 16, 2016.

The independent observer noted the following during our observation:

- Nine applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Seventeen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-14-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 1

Panel Date: March 14, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY16 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on March 14, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on March 14, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. None of the applications with conflicts were discussed during the peer review panel.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Scientific Review Council Meeting Observation Report

Report #2016-03-29-RES

Program Name: Academic Research

Panel Name: FY16.2 Scientific Review Council
Meeting

Panel Date: March 29, 2016

Report Date: April 5, 2016

Background

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

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on March 29, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on March 29, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 35 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Six peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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Noted Conflicts of Interest

**Conflicts of Interest for Academic Research Cycle 16.2 Applications
(Academic Research Cycle 16.2 Awards Announced at May 18, 2016, 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 Cycle 16.2 include *High Impact/High Risk Research Awards*, *Core Facilities Support Awards*, and *Multi-Investigator Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
No conflicts reported			
Applications not considered by the PIC or Oversight Committee			
RP160703*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-AC*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-C1*	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P1*	MacDonald, Raymond	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P2*	Wilkie, Thomas	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P3*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P4*	Boothman, David	The University of Texas Southwestern Medical Center	Prendergast, George

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160767*	Ghosh, Rita	The University of Texas Health Science Center at San Antonio	Houchens, David
RP160768*	Srivenugopal, Kalkunte	Texas Tech University Health Sciences Center	Wang, Xiao-Fan
RP160774*	Li, Bing	The University of Texas Southwestern Medical Center	Petrini, John
RP160782*	Suh, Junghae	Rice University	Weitzman, Matthew
RP160835	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-AC	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-C1	Zong, Chenghang	Baylor College of Medicine	Petrini, John
RP160835-P1	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-P2	Miller, Kyle	The University of Texas at Austin	Petrini, John
RP160835-P3	Scott, Kenneth	Baylor College of Medicine	Petrini, John
RP160655*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-AC*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-C1*	Wang, Jing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P1*	Wu, Xifeng	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P2*	Ji, Lin	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P3*	Calin, George	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160705*	Orlowski, Robert	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160739	Shi, Xiaobing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160760*	Sikora, Andrew	Baylor College of Medicine	Costello, Joseph; Wahl, Geoffrey
RP160765	Gregory, Carl	Texas A&M University Health Science Center	Fearon, Eric; Lawlor, Elizabeth
RP160769	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-AC	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-C1	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey
RP160840-C2	Farach-Carson, Mary	Rice University	Greene, Geoffrey
RP160840-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-P3	Weigel, Nancy	Baylor College of Medicine	Greene, Geoffrey
RP160856	Kim, Jung-whan	The University of Texas at Dallas	Werb, Zena
RP160661	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-AC	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-C1	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P1	Yang, Ming	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P2	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P3	Shao, Yiping	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P4	Lu, Weigno	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P5	Wang, Jing	The University of Texas Southwestern Medical Center	Koong, Albert

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160663*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-AC*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C1*	Overwijk, Willem	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C2*	Piwnica-Worms, David	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P1*	Liu, Jinsong	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P2*	Sood, Anil	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P3*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160672	Woodman, Scott	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160679*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-AC*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C1*	Kapur, Payal	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C2*	Xie, Xian-Jin	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C3*	Pedrosa, Ivan	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P1*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P2*	Timmerman, Robert	The University of Texas Southwestern Medical Center	Koong, Albert

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160679-P3*	Mani, Ram	The University of Texas Southwestern Medical Center	Koong, Albert
RP160693	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-AC	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C1	Kornblau, Stephen	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C2	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C3	Do, Kim-Anh	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P1	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P2	Rezvani, Katy	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P3	Gottschalk, Stephen	Baylor College of Medicine	DePersio, John
RP160710	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-AC	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-C1	Moulder, Stacy	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-C2	Davies, Peter	Texas A&M University Health Science Center Institute of Biosciences and Technolofy	Kast, W. Martin; Niedzwiecki, Donna
RP160710-C3	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-P1	Thompson, Alastarr	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160710-P2	Hong, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-P3	Mani, Sendurai	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160724*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-AC*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-C1*	Saha, Debabrata	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P1*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P2*	Aroumougame, Asaithamby	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P3*	Chen, Ping-Chi	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P4*	Hannan, Raquibul	The University of Texas Southwestern Medical Center	Koong, Albert
RP160745	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-AC	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-C1	Rosen, Daniel	Baylor Research Institute	Kast, W. Martin
RP160745-C2	Becnel, Lauren	Baylor Research Institute	Kast, W. Martin
RP160745-P1	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-P2	Wheeler, David	Baylor Research Institute	Kast, W. Martin
RP160745-P3	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160826	Fleming, Jason	The University of Texas M.D. Anderson Cancer Center	Prados, Michael

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160843*	Chang, Jenny	The Methodist Hospital Research Institute	Curran, Walter
RP160864*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-AC*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-C1*	Liu, Xuewu	Houston Methodist	Riddell, Stanley
RP160864-C2*	Gee, Adrian	Baylor College of Medicine	Riddell, Stanley
RP160864-P1*	Shen, Haifa	Houston Methodist	Riddell, Stanley
RP160864-P2*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-P3*	Rooney, Cliona	Baylor College of Medicine	Riddell, Stanley
RP160697*	Kundra, Vikas	The University of Texas M.D. Anderson Cancer Center	Johnson, G. Allan
RP160702	Mancini, Michael	Texas A&M University System Health Science Center	Basillion, James
RP160718	Betancourt, Tania	Texas State University-San Marcos	Berbeen, Ross
RP16074	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-C1	Elting, Linda	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C2	Peterson, Susan	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P2	Glordano, Sharon	The University of Texas M.D. Anderson Cancer Center	Barlow, William

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP16074-P3	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-P4	Guadagnolo, Beverly	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160735	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-AC	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-C1	Glickman, Randolph	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-C2	Tiziani, Stefano	The University of Texas at Austin	Barlow, William
RP160735-C3	Gelfond, Jonathan	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P1	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-P2	Slaga, Thomas	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P3	Kumar, Pratap	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P4	Thompson, Ian	The University of Texas Health Science Center at San Antonio	Barlow, William

De-Identified Overall Evaluation Scores

High-Impact/High-Risk Research Awards

Academic Research Cycle 16.2

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within the Individual Investigator Research Awards mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

This comprehensive list of Individual Investigator Research Awards de-identified application scores created for the purpose of this CEO affidavit packet combines the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not.

Also, see the "Final Overall Evaluation Scores and Rank Order Scores" section for an explanation of the Scientific Review Council's review and recommendation of grant awards.

Application ID	Final Overall Evaluation Score
RP160795*	1.8
RP160813*	1.8
RP160776*	1.9
RP160884*	2.0
RP160847*	2.0
RP160713*	2.1
RP160842*	2.1
RP160834*	2.1
RP160739*	2.2
RP160822*	2.5
RP160866*	2.6
RP160806*	2.7
RP160827*	2.8
RP160775*	2.8
RP160841*	2.9
RP160852*	3.1
ba	3.1
bb	3.1
RP160765*	3.1
RP160770*	3.1
bc	3.2
RP160763*	3.2
RP160704*	3.2
RP160819*	3.2
bd	3.4

*=Recommended for funding

Application ID	Final Overall Evaluation Score
be	3.5
bf	3.6
bg	3.6
bh	3.7
bi	3.7
bj	3.7
bk	3.7
bl	3.7
bm	3.7
bn	3.7
bo	3.7
bp	3.7
bq	3.8
br	3.8
bs	3.9
bt	3.9
bu	4.0
bv	4.0
bw	4.0
bx	4.0
by	4.0
bz	4.0
ca	4.0
cb	4.0
cc	4.0
cd	4.0
ce	4.0
cf	4.0
cg	4.0
ch	4.0
ci	4.0
cj	4.0
ck	4.1
cl	4.1
cm	4.3
cn	4.3
co	4.3
cp	4.3
cq	4.3
cr	4.3
cs	4.3
ct	4.3
cu	4.3
cv	4.3

*=Recommended for funding

Application ID	Final Overall Evaluation Score
cw	4.4
cx	4.5
cy	4.5
cx	4.7
da	4.7
db	4.7
dc	4.7
dd	4.7
de	4.7
df	4.7
dg	4.7
dh	4.7
di	4.7
dj	4.7
dk	4.7
dl	4.7
dm	4.7
dn	4.7
do	4.8
dp	4.8
dq	4.8
dr	4.8
ds	4.9
dt	4.9
du	5.0
dv	5.0
dw	5.0
dx	5.0
dy	5.0
dz	5.0
ea	5.0
eb	5.0
ec	5.3
ed	5.3
ee	5.3
ef	5.3
eg	5.3
eh	5.3
ei	5.3
ej	5.3
ek	5.3
el	5.3
em	5.3
en	5.3

*=Recommended for funding

Application ID	Final Overall Evaluation Score
eo	5.3
ep	5.7
eq	5.7
er	5.7
es	5.7
et	5.7
eu	5.7
ev	5.7
ew	5.7
ex	6.0
ey	6.0
ez	6.0
fa	6.0
fb	6.0
fc	6.0
fd	6.0
fe	6.0
ff	6.3
fg	6.3
fh	6.3
fi	6.3
fj	6.3
fk	6.7
fl	6.7
fm	6.7
fn	6.7
fo	6.7
fp	6.7
fq	6.7
fr	6.7
fs	7.0
ft	7.0
fu	7.3
fv	7.3
fw	7.3
fx	7.7
fy	7.7
fz	8.3

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

Ludwig Institute for
Cancer Research Ltd

March 29, 2016

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the **16.2 Core Facilities Support Awards, High-Impact, High-Risk (HIHR) Research Awards, Multi-Investigator Research Awards (MIRA)** grant mechanisms. The SRC met on Tuesday, March 29, 2016 to consider the applications recommended by the peer review panels following their meetings that were held March 9 – March 16, 2016. During the SRC discussion, it was determined that one MIRA (RP160840) received project scores that were not reflected in the overall score, and it was recommended that this application not be moved forward for funding. This resulted in some applications being recommended for grant awards that received scores less favorable than this one application. The applications on the attached list are numerically ranked in the order the SRC recommends the applications be funded after adjustments were made based on success rates.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The SRC accepted the recommendations of the peer review panels concerning adjustments to three grant applications. These adjustments with justifications are listed at the end of the list of recommended projects. The total amount for the applications recommended is \$81,773,066.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	Organization/Company	Application Title	Budget	Mech	Overall Score
1	RP160805	Baylor College of Medicine	Preclinical Candidate Discovery Core	\$5,999,997	CFSA	1.6
2	RP160813	Acelerox	Nanoparticle Prophylaxis for Protection from Chemotherapy Ototoxicity	\$195,665	HIHR	1.8
3	RP160795	Baylor College of Medicine	A "Pap smear" for ovarian cancer	\$200,000	HIHR	1.8
4	RP160657	The University of Texas at Austin	Targeted Therapeutic Drug Discovery & Development Program	\$4,982,636	CFSA	1.9
5	RP160776	The University of Texas at Austin	Rapid Molecular Diagnosis of Lung Cancer Biopsies by Ambient Ionization Mass Spectrometry	\$200,000	HIHR	1.9
6	RP160884	Baylor College of Medicine	RNA processing stress: a new therapeutic entry point in triple-negative breast cancer	\$200,000	HIHR	2.0
7	RP160847	Texas A&M Engineering Experiment Station	A Body Coil for MR Imaging and Spectroscopy of Cancer at 7 Tesla	\$200,000	HIHR	2.0
8	RP160732	The University of Texas Health Science Center at San Antonio	UTHSCSA Cancer Genome Sequencing and Computation Core	\$3,680,756	CFSA	2.0
9	RP160652	The University of Texas M. D. Anderson Cancer Center	Defining and Defeating Mechanistic Subtypes of KRAS-mutant Lung Cancers	\$7,476,300	MIRA	2.0
10	RP160668*	The University of Texas M. D. Anderson Cancer Center	Pathogenesis and Early Progression of Lung Cancer	\$5,757,844	MIRA	2.0
11	RP160834	Texas A&M University	Integrated-cavity-enhanced pre-screening for lung cancer	\$200,000	HIHR	2.1
12	RP160842	Texas A&M University System Health Science Center	Novel roles for NIK in high-grade glioma: regulation of mitochondrial dynamics to control cell migration and invasion	\$200,000	HIHR	2.1
13	RP160716	The University of Texas Health Science Center at San Antonio	Texas Pediatric Patient Derived Xenograft Facility	\$5,079,843	CFSA	2.1
14	RP160713	The University of Texas Southwestern Medical Center	Amino Acid Sensing: Directing Cell Growth through mTORC1	\$198,983	HIHR	2.1
15	RP160693	The University of Texas M. D. Anderson Cancer Center	Acute Myeloid Leukemia in the Immunosuppressed Microenvironment	\$7,500,000	MIRA	2.2
16	RP160739	The University of Texas M. D. Anderson Cancer Center	Targeting Histone Acetylation Readers in MLL-translocated Leukemias	\$200,000	HIHR	2.2
17	RP160661**	The University of Texas Southwestern Medical Center	Towards Carbon Beam Stereotactic Body Radiation Therapy (C-SBRT) for Higher Risk Early Stage Lung Cancer	\$5,129,867	MIRA	2.2
18	RP160667***	The University of Texas M. D. Anderson Cancer Center	DNA-Protein Crosslink Repair Pathways and Cancer Therapy	\$6,376,645	MIRA	2.4
19	RP160822	Texas AgriLife Research	Exploring Geminivirus-encoded suppressor of histone methyltransferases as an anti-cancer drug	\$199,958	HIHR	2.5
20	RP160866	The University of Texas at Dallas	Renal Clearable Nanodelivery System for Triple Negative Breast Cancer Therapy	\$200,000	HIHR	2.6
21	RP160710	The University of Texas M. D. Anderson Cancer Center	A Randomized Clinical Trial Platform with Translational Studies to Overcome Resistance in Triple Negative Breast Cancer	\$7,497,096	MIRA	2.6
22	RP160806	Texas Tech University	Development of high throughput technology to identify drugs for muscle wasting during cancer	\$199,995	HIHR	2.7
23	RP160674	The University of Texas Medical Branch at Galveston	Comparative Effectiveness Research on Cancer in Texas (CERCIT) 2.0	\$7,500,000	MIRA	2.7
24	RP160827	Texas A&M University System Health Science Center	A platform technology for the isolation of anti-cancer monoclonal antibodies from chickens	\$200,000	HIHR	2.8
25	RP160775	The University of Texas Health Science Center at Houston	Becoming fatter to survive: cancer cells increase lipid storage to counter metabolic stress	\$200,000	HIHR	2.8

26	RP160771****	Baylor College of Medicine	The Adolescent and Childhood Cancer Epidemiology and Susceptibility Service (ACCESS) for Texas	\$6,000,000	CFSA	2.9
27	RP160844*****	The University of Texas at San Antonio	Center for Innovative Drug Discovery: Enhancement of a Shared Cancer Resource for South Texas	\$4,598,728	CFSA	2.9
28	RP160841	The University of Texas Health Science Center at San Antonio	Targeting EWS-FLI-1 for degradation	\$200,000	HIHR	2.9
29	RP160765	Texas A&M University System Health Science Center	An unlikely therapeutic target for malignant bone disease: Dkk-1 activates a stress resistance mechanism in bone tumor cells	\$200,000	HIHR	3.1
30	RP160852	Texas State University - San Marcos	Chemo-preventive Approach to Cancer Exploiting a Presumptive Link between Genomic Instability and Structural Stability of non-B DNA Sequences	\$200,000	HIHR	3.1
31	RP160770	The University of Texas at Dallas	Optical opening of blood-brain barrier for brain tumor drug delivery by plasmonic nanobubbles	\$200,000	HIHR	3.1
32	RP160819	Texas AgriLife Research	Quantitative mapping of intracellular protein-protein interactomes in healthy and cancerous cells	\$198,753	HIHR	3.2
33	RP160704	The University of Texas at Austin	High affinity therapeutic mimotope antibodies to the oncogenic Epidermal Growth Factor Receptor	\$200,000	HIHR	3.2
34	RP160763	The University of Texas Health Science Center at Houston	Targeting multiple myeloma stem cell niche	\$200,000	HIHR	3.2

*RP160668 - The peer review panel recommended the deletion of Project 4 from the MIRA application. As a result, the funds dedicated to that project were removed from the budget for a revised total of \$5,757,844. The final score was based on revised scope with the deletion of Project 4.

**RP160661 - The peer review panel recommended the deletion of Project 3 and Project 4 from the MIRA application. As a result, the funds dedicated to those projects was removed from the budget for a revised total of \$5,129,867. The final score was based on revised scope with the deletion of Projects 3 and 4.

***RP160667 - The peer review panel recommended changes to the MIRA application by modifying Project 2 by deleting Aim 3 and reducing the budget by the amount dedicated to that project. Additionally, the panel recommended reducing the budget for Core 1 by 25%. Finally, the panel recommended reducing Core 2 by \$20,000. These changes resulted in a revised budget totaling of \$6,376,645. The final score was

****RP160771 - The peer review panel recommended the overall budget be reduced to the allowable \$6,000,000 for entire funding period. One required reduction is \$500,000 (\$100,000/year) for pilot projects that were not substantiated. Other reductions can be made based on budget negotiations with CPRIT.

*****RP160844 - The peer review panel recommended reducing the personnel budget by 1/3 (\$507,155), removing \$150,000 for pilot projects, and \$100,000 for a software suite. The revised budget total is \$4,598,728. The final score was based of these budget reductions.

CFSA - Core Facilities Support Awards

HIHR - High-Impact/High-Risk Research Awards

MIRA - Multi-Investigator Research Awards



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycle 2
Multi-Investigator Research Awards

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA R-16-MIRA-2

Multi-Investigator Research Awards

Please also refer to the “Instructions for Applicants” document, which will be
posted on August 11, 2015

Application Receipt Opening Date: August 11, 2015

Application Receipt Closing Date: October 13, 2015

FY 2016

Fiscal Year Award Period

September 1, 2015–August 31, 2016

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RFA VERSION HISTORY

Rev 07/06/15 RFA release

Rev 7/20/15 Revised Section 11 - Key Dates

- Corrected Application due date time from 11:59 PM central time to 3 PM central time

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

Multi-Investigator Research Awards are intended to support the creation of integrated programs of collaborative and cross-disciplinary research among multiple investigators. These should be equivalent to program projects, research centers, NCI SPOREs, multi-institutional clinical trial

networks, or other types of collaborative interactions. Teams will focus on critical areas of cancer research, especially those that have been inadequately addressed by research up to this point or for which there may be an absence of an established paradigm or technical framework. Laboratory research, translational studies, clinical, and population-based investigations may be supported. Awards are expected to promote a cooperative environment that fosters intensive interaction among members in all aspects of the research program. This approach is expected to transform the research process through the integration of basic and/or clinical disciplines, leading to the aggressive translation of scientific discoveries into tools and applications that have the potential to make a significant impact on cancer incidence, detection, treatment, and/or survivorship.

While all investigators need not be trained specifically in cancer research, this award is intended to initiate sustainable, collaborative programs of cancer research that cannot be addressed effectively by an individual researcher or a group of researchers within the same discipline.

It is aimed at research programs that, by their complexity and interdisciplinary nature, require a cross-disciplinary team approach to achieve significant progress and sustainability, thereby creating a culture for teaching and research that transcends traditional disciplinary boundaries. Clinical research or a clinical trial (phase I, I/II, or II) may be included as part of the proposed program.

Investigators are expected to work together to develop the research plan, determine the management structure, and prepare the application. It should be clear that all investigators have a substantial level of intellectual input into the proposed program. Collectively, the members of the teams should represent the appropriate diversity of expertise necessary for addressing the research question. Effort is expected to be appropriately balanced among the investigators and their respective teams.

Applicants must present a clear plan for how they would manage and facilitate meaningful collaboration among the separate research teams to enable successful completion of the proposed research. Participating institutions must be willing to resolve potential intellectual and material property issues/conflicts and subcontracting issues and remove institutional barriers to achieving high levels of cooperation.

This funding mechanism offers an attractive opportunity for investigators to test new ideas, explore new areas, and/or implement new approaches. These types of applicant responses are desired and encouraged. However, CPRIT staff and external scientific review committees have noted a significant amount of overlap of investigators (ie, some investigators proposing to lead or participate in several new activities), thereby making it difficult to discern where the investigators' interests truly lie. In addition, some investigators have submitted very ambitious applications requesting large sums of money but with minimal evidence of commitment to the project in terms of percentage effort. This RFA attempts to curb these practices while still avoiding excessively rigid rules that might stifle innovation; therefore, applications with deviations from guidelines stated in the RFA will be examined closely. Evidence of lack of commitment or excessive fragmentation will be a significant negative factor in funding decisions.

3. RESEARCH OBJECTIVES

CPRIT will foster cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This RFA solicits applications for integrated programs of collaborative and cross-disciplinary research among multiple investigators and will focus on critical research areas that will contribute meaningfully to advancing knowledge of the causes, prevention, and/or treatment of cancer. CPRIT encourages applicants who seek to develop or apply state-of-the-art technologies, tools, and/or resources for cancer research, including those with projects having potential commercialization opportunities. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and survivorship. To fulfill this vision, applications may address any research topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, or quality of life.

Because Multi-Investigator Research Awards, by definition, support collaborative research projects, this award mechanism will accommodate applications that encompass a wide variety of activities and administrative structures. Applicants may propose collaborative programs that are modest in size or those that are larger and more complex. CPRIT encourages cancer investigators from Texas to bring their best ideas forward for consideration. Creative, collaborative projects that address critical questions should leverage cancer research taking place in Texas into a leadership position from both national and international perspectives. Federal programs should not be duplicated; rather, when possible, their impact in the state of Texas should be enhanced.

4. FUNDING INFORMATION

This funding mechanism is intended to accommodate a wide variety of applications and organizational structures. Applicants may request a maximum of \$7,500,000 in total costs for a maximum period of 5 years. Exceptions to the maximum amount may be requested if extremely well justified. Funds may be used for salary and fringe benefits, research supplies, equipment, clinical costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

In an attempt to reduce the administrative difficulties in submitting programmatic and financial reports, Multi-Investigator Research Awards will be submitted as a single application. The PI will lead the project through the Administrative Core, which will be housed at the applicant institution. Individual projects and cores must be handled through subcontracts if participating institutions are located outside of the applicant institution. The applicant institution will develop the overall program budget with the assistance of individual participating institutions. Therefore, the institution that leads the Administrative Core will be responsible for coordinating subcontracts, submission of progress reports, and all related annual and financial reports. There will not be a requirement for other participating institutions to submit these reports to CPRIT.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization 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; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Program.
- The Principal Investigator (PI) and Co-Principal Investigators (Co-PIs) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent. Individuals serving as a PI or Co-PI must reside in Texas during the time the research that is the subject of the grant is conducted. A major criterion for successful applications will be the level of expertise of the collaborative team that has been assembled. CPRIT encourages the creation of teams composed of researchers from Texas who have stellar reputations in their given areas of expertise. If necessary, applicants must eschew

institutional and regional considerations to assemble the best qualified of the state's investigators on a given subject into a superb collaborative team. Competing applications in a single area may fragment and dilute the best talent available. While CPRIT recognizes the value of competition, assembly of researchers with the best expertise for large-scale programs is encouraged to facilitate the highest level of cancer research throughout the state. CPRIT also encourages the inclusion of investigators from multiple institutions to facilitate interinstitutional collaboration.

- An individual serving as a PI may submit only 1 application under this RFA. An individual may serve as a Co-PI in more than 1 application but should ensure that he or she could dedicate adequate time and effort should more than 1 application be funded.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the state of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds. In no event shall equipment purchased under this award leave the state of Texas.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, 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 PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant

funds because of scientific misconduct or fraud 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 12](#) and [section 13](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

Resubmissions are available under this RFA. A MIRA application that was unfunded after a single review should be submitted as a resubmission under this RFA. Applicants are advised to address all noted concerns in the summary statements that were prepared for the original application review. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All previously unfunded MIRA submissions should be carefully reconstructed and take reviewers comments under consideration when resubmitting an application.

7. RENEWAL POLICY

Renewals are not available under this RFA. A project that was previously funded under the MIRA and would be a continuation of MIRA program activities must be submitted as a new application under this RFA. In preparing the new application, applicants should describe and demonstrate that appropriate/adequate progress has been made on the previously funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be incorporated into the application as well as patents and efforts at product development where appropriate.

8. CHARACTERISTICS OF MULTI-INVESTIGATOR RESEARCH AWARDS

8.1. Synergy

Successful multi-investigator research programs are characterized by an exceptionally synergistic theme. Applications in response to this RFA must bring together a strong group of research projects and necessary core resources that contribute to a common goal in cancer

research as a single, coherent entity. The overall program must provide greater value than the sum of its individual components.

Synergy between projects and cores to support the overall objective of the proposed program and the multidisciplinary focus of each project and core are essential aspects of the award mechanism and are major considerations of the review process.

It is envisioned that these research programs, once established, will interact extensively with each other and, if possible, with newly formed or established companies interested in bringing specific, Texas-based cancer discoveries to the market for the benefit of patients with cancer everywhere. To the extent possible, plans for such interactions should be developed and described.

8.2. Leadership

8.2.1. Principal Investigator (PI)

The overall research program will be directed and overseen by a PI. The PI is responsible for developing and managing an integrated and collaborative research environment that permits uninterrupted progress of the research projects regardless of distinct geographic locations of collaborators within the state. The PI must direct the required administrative core (see [section 8.4](#) and [section 9.2.10](#)). The PI is responsible for the submission of the application, all reporting requirements, and all budgeting decisions.

8.2.2. Co-Principal Investigator (Co-PI)

Each research project and core resource within the overall research program must be directed by a single individual designated as a Co-PI on the application for the overall research program. The Co-PI will be responsible for the research activities of his or her research project(s) and/or core resource(s) within the framework and goals of the overall research program. The PI may also direct a research project and/or core resource. Projects and cores located outside of the PI's institution must be supported through a subcontract with the applicant institution.

8.3. Research Projects

Research projects (also referred to as *projects* in this RFA) will challenge existing paradigms; develop or employ novel concepts, approaches, methodologies, tools, or technologies for the proposed cancer research area; or address important underexplored or unexplored areas. CPRIT

seeks to support original and innovative projects. The thrust of the Multi-Investigator Research Awards mechanism is to support research projects that lead to truly substantial advances in the field rather than add modest increments of insight. Projects that modestly extend current lines of research will not be considered for this award.

Each project must be poised individually to make significant contributions to the field of cancer research as well as be complementary to the overall research program. Application of a single approach to multiple forms of cancer does not justify a request for multiple research projects.

The guidelines for research projects are as follows:

- Minimum: 3 projects
- Maximum: 5 projects
- Each research project must be directed by the PI or by a Co-PI. The PI or a Co-PI can direct only 1 project within the Multi-Investigator Research Award application.

8.4. Core Resources

Supporting core resources (also referred to as *cores* in this RFA) constitute integral components of multi-investigator research programs by providing the expertise and/or infrastructure essential to the completion of the individual research projects. Examples of core resources include, but are not limited to, administrative core, tissue/specimen core, sequencing/bioinformatics core, histopathology core, and imaging core. All applications submitted in response to this RFA must include an administrative core that comprehensively coordinates all activities proposed within the objectives of the projects and cores and is directed by the PI.

The guidelines for core resources are as follows:

- Minimum: Administrative core
- Maximum: 3 technical cores
- A maximum of 4 cores is permitted (ie, the administrative core and 3 technical cores).
- Each core must be directed by the PI or by a Co-PI. A Co-PI can direct 1 project and/or 1 technical core. The PI can direct 1 project and/or technical core in addition to the administrative core. The administrative core must be directed by the PI.
- Cores should include clear descriptions of the projects they are designed to support.
- Projects and cores are subject to different review criteria (see [section 10.4](#)). Research projects must **not** be submitted as cores in an attempt to circumvent the limitation on the

number of research projects that may be submitted as part of a single Multi-Investigator Research Award application.

8.5. Selection of Research Projects and Core Resources

The PI is expected not only to coordinate and develop the overall research program but also to *limit the number of projects and cores* to only those that are considered highly meritorious and significant within the context of the entire application. The collaborative impact, merit, and feasibility of all the projects—not the cores—will determine whether an application for a Multi-Investigator Research Award receives support. Investigators are strongly discouraged from including weaker projects in an effort to obtain a higher level of funding. Rather, inclusion of fewer, highly focused projects is strongly recommended.

8.6. Commitment of Time and Effort

Investigators are expected to commit *significant percentage effort* to research projects and cores. Although no minimum time commitment is required for the PI, a total commitment of 20% effort is desirable. Less than that can be viewed by reviewers as a lack of commitment to the program. Research project and core resource leads should commit at least 10% effort for each project and/or core that he or she directs.

Note: CPRIT requires that the percentage effort of the PI and/or Co-PI(s) remain the same in every year of support requested unless there is a corresponding change in the budget and level of activity of the project/core directed by the PI or the Co-PI(s) in question.

CPRIT recognizes that multi-investigator programs will vary significantly in size and scope; thus, a single guideline for commitment of time and effort is not appropriate for all applications. Applications should exhibit a reasonable correlation between time commitment and funds requested unless there are special circumstances, which must be explained. In addition, it should be clear from the other support information provided that the investigator will be able to achieve the required percentage effort and what activities may have to be contracted or curtailed to achieve the required percentage effort for the application submitted.

8.7. Participation on More than 1 Application

CPRIT is concerned that many investigators appear frequently as part of several different research programs, which makes it difficult to discern the investigators' commitment to a given project. CPRIT believes that this leads to weaker, less competitive applications. Therefore, CPRIT urges investigators to be named on only 1 Multi-Investigator Research Award application in a given funding cycle, regardless of their role. However, CPRIT recognizes that specific individuals directing and/or participating in core resources (eg, biostatistics, bioinformatics, or histopathology cores) may be involved in multiple research studies.

A common set of tools may be applied in more than 1 situation, leading to economies of scale (but **not** duplications of budgets). Thus, exceptions to investigators being listed on only 1 application may be made if compelling justification for such exceptions and assurance of commitment (usually in the form of percentage effort) are provided. Reductions in percentage effort will usually not be approved after an application is funded unless there have been major changes in scope and, therefore, in budget.

9. RESPONDING TO THIS RFA

9.1. 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 was submitted. The PI must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO) (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. The Co-PI does not have to create a user account in CARS; the Co-PI will be added to the application by the PI. Please refer to the *Instructions for Applicants (IFA)* document for the instructions on adding Co-PIs to an application. The IFA document will be available when the application receipt system opens. Applications will be accepted beginning at 7 AM central time on August 11, 2015, and must be submitted by 3:00 PM central time on October 13, 2015. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

9.1.1. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

9.2. 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 IFA 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 rejected without review.

9.2.1. Abstract and Significance (15,000 characters)

Clearly explain the question or problem to be addressed by the proposed overall research program and the approach to its answer or solution. Address how the proposed research, if successful, will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. State the synergistic value that the individual research projects and core resources present to the goals of the overall application. Summarize the proposed core resources. Clearly state the project(s) that the core resources will support and the synergistic value they provide to the goals of the research project(s).

Note: It is the responsibility of the applicant to capture CPRIT’s attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

9.2.2. Layperson’s Summary (10,000 characters)

Provide a layperson’s summary of the proposed program. Describe, in simple, nontechnical terms, the overall goals of the proposed program, the type(s) of cancer addressed, the potential

significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the Layperson's Summary. The Layperson's Summary will also be used by advocate reviewers ([section 10.1](#)) in evaluating the significance and impact of the proposed work.

9.2.3. Goals and Objectives (Maximum of 3 Goals and 3 Objectives per Goal for Each Project and Core)

Provide a list of specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success. Goals and objectives should be listed for the overall project as well as for each project and core separately. Projects and cores should be labeled numerically (AC for the Administrative Core, Project 1 to Project 5, and Core 1 to Core 3) and be clearly identified. Goals and objectives for cores should indicate the project(s) to be supported.

Goals and objectives for the overall project should be listed under Administrative Core and prepared by the PI.

9.2.4. Timeline (Maximum of 1 Page per Project and Core)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. Timelines should be listed for the overall program as well as for each project and core separately. Projects and cores should be labeled numerically (AC for the Administrative Core, Project 1 to Project 5, and Core 1 to Core 3) and be clearly identified. The timeline for the overall project should be listed under Administrative Core and prepared by the PI.

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.

9.2.5. Resubmission Summary (1 page)

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

Note: An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention.

All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

9.2.6. Overview of Overall Program (10 Pages)

Background: Present the rationale behind the proposed research program, emphasizing the pressing problem in cancer research that will be addressed.

Research Strategy: Describe the objectives of the research program and briefly summarize each component project and core resource.

Synergy: Describe how individual component projects provide synergistic value to the research program.

9.2.7. Research Project Abstract (Maximum of 5,000 characters per Project)

Clearly explain the question or problem to be addressed by the proposed project and the approach to its answer or solution. Address how the proposed research, if successful, will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. State the synergistic value that the project has to the overall research program and other projects and core resources in accomplishing the goals and objectives of the overall program.

9.2.8. Research Project Plan (Up to 20 Pages for Each Project)

Background: Present the rationale behind the proposed project, emphasizing the pressing problem in cancer research that will be addressed.

Research Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data that support the proposed hypothesis are encouraged but not required.

Synergy: Describe how the project provides synergistic value to the entire research program.

Biographical Sketches: A biographical sketch must be provided for each individual leading a project. Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 2 pages. Appropriate templates will be provided in CARS.

Publications/References: Provide a concise and relevant list of publications/references cited for the research project.

Budget and Justification: While there will be 1 budget for the entire program, individual budget breakdowns must be included for each project and core resource as a part of the research plan.

9.2.9. Core Resource Abstract (Maximum of 5,000 characters per Core Resource)

Clearly explain the question or problem to be addressed by the proposed core resource and the approach to its answer or solution. Address how the core will have a major impact on the field of cancer research or on the care of patients with cancer. Summarize how the proposed core resource creates new paradigms or challenges existing ones. State the synergistic value that the core resource has to the overall research program and other projects and core resources in accomplishing the goals and objectives of the overall program.

9.2.10. Core Resource Plan (Up to 20 Pages for Each Core Resource)

Background: Present the rationale behind the proposed core resource.

Support Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data demonstrating the capabilities of the core are encouraged but not required.

Synergy: Describe how the core resource provides synergistic value to the research program.

Biographical Sketches: A biographical sketch must be provided for each individual leading a core resource. Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 2 pages. Appropriate templates will be provided in CARS.

Publications/References: Provide a concise and relevant list of publications/references cited for the core resource.

Budget and Justification: While there will be 1 budget for the entire program, individual budget breakdowns must be included for each project and core resource as a part of the core resources plan.

9.2.11. Administrative Plan (5 Pages)

Describe the organizational and management structure that will be established to efficiently, effectively, and comprehensively manage all aspects of the research program. State how the leaders of individual projects and cores (ie, the PI and the Co-PIs) will communicate and discuss results, report progress, and resolve potential problems throughout the duration of the research program.

9.2.12. Synergy Illustration (3 Pages)

Provide a detailed narrative and diagrammatic representation of interactions between the Administrative Core, all research projects, and all core resources of the proposed research program.

9.2.13. Vertebrate Animals and/or Human Subjects (5 Pages)

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for IRB approval or exemption and recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

9.2.14. Publications/References

Provide a concise and relevant list of publications/references cited for the application.

9.2.15. Budget and Justification

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. Reasonable budgets clearly work in favor of the applicant.

However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request. Poorly justified requests of this type will likely have a negative impact on the overall evaluation of the application.

In preparing the requested budget, applicants should be aware of the following:

- One budget will be submitted on behalf of the entire program and will include costs for individual projects and cores. While there will be 1 budget for the entire program, individual budget breakdowns must be included for each project and core resource as a part of the research or core resources plan. For programs that have outside institutions participating, a subcontract must be executed for that institution to receive CPRIT funds.
- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.state.tx.us. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2016 is \$200,000; CPRIT FY 2016 is from September 1, 2015, through August 31, 2016.

Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

9.2.16. Biographical Sketches (2 Pages Each)

Applicants should provide a biographical sketch for the PI (as required by the online application receipt system) that describes his or her education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for each individual leading a project or core. Biosketches for individuals leading projects and cores should be included as part of the Research Project Plan or Core Resources Plan, labeled numerically (Project 1 to Project 5 and Core 1 to Core 3) and be clearly identified. Up to 5 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 2 pages. Appropriate templates will be provided in CARS.

9.2.17. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and Co-PIs must be provided.

9.2.18. Institutional/Collaborator Support and/or Other Certification (4 Pages)

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 4 pages may be provided.

9.2.19. Previous Summary Statement

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

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

10. APPLICATION REVIEW

10.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Peer Review panel members for scientific merit and impact.

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches.

Applications that do not sufficiently capture the reviewers' interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

10.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight

Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

10.3. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, 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 Peer Review Panel members and Scientific Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website.

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, a Scientific Review Panel 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 Officer, the Chief Product Development Officer, and the Commissioner of State Health Services.

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period prior to the opening of CARS. Intentional, serious, or frequent

violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

10.4. Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review panels will evaluate and score each project and core individually according to the primary criteria and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

10.4.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work in each project and core as well as the overall program as described in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

Significance and Impact of Overall Program: What is the innovative potential of the program? Does the program propose new paradigms or challenge existing ones? Does the program develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Investigators and biomedical personnel must want and need to know the results of CPRIT-funded research because such knowledge will change the ways in which they conduct their own research or approach and care for their patients. Programs that modestly extend current lines of research will not be considered for this award.

Research Plan for Research Projects: Is the proposed work presented as a self-contained research project? Does the proposed research have a clearly defined hypothesis or goal that is supported by sufficient preliminary data and/or scientific rationale? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed? Does the proposed project provide strong synergistic activities as part of a multidisciplinary collaboration? See [section 8.1](#).

Project Leader for Research Projects: Does the project leader demonstrate the required creativity, expertise, experience, and accomplishments to achieve the goals of the research project? Has the project leader devoted a sufficient amount of his or her time (percentage effort) to this project?

Synergy and Collaborative Teams: Does the proposed project provide strong synergistic activities as part of a multidisciplinary collaboration? That is, is the value of this program significantly greater than the sum of its parts? If core facilities are described, are they necessary and sufficient to support the project in achieving the overall goals proposed? Has the project assembled the best qualified collaborative and multidisciplinary teams to achieve the proposed goals? Are the levels of effort of the key personnel appropriate as outlined in [section 8.6](#)?

Relevance of Research Projects: Does the proposed research have a high degree of relevance to reduce the burden of cancer? This will be an important criterion for evaluation of projects for CPRIT support.

Sufficiency and Capability of Core Resources: Is the proposed core resource necessary? Does it have the needed facilities and sufficient resources to support the proposed research project(s) in accomplishing the proposed goals? Does it provide strong synergistic activities as part of a multidisciplinary collaboration? Is there a mechanism for prioritizing the work of the core?

Core Resources Leader: Does the core leader demonstrate the required expertise and experience to direct the core resource in supporting the research project(s)? Has the core leader devoted a sufficient amount of his or her time (percentage effort) to this resource?

Administrative Plan: Is the proposed organizational and management structure capable of comprehensively overseeing and coordinating all aspects and activities of the proposed research program?

Administrative Core Leader: Does the core leader demonstrate the required expertise and experience to direct the research program? Has the core leader devoted a sufficient amount of his or her time (percentage effort) to this activity? Are there plans for coordination of the program and for facilitating interactions among the program components?

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

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

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

13. 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 demonstration of available funding.

14. CONTACT INFORMATION

14.1. 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 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

14.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Scientific Review Council Meeting Observation Report

Report #2016-03-29-RES

Program Name: Academic Research

Panel Name: FY16.2 Scientific Review Council
Meeting

Panel Date: March 29, 2016

Report Date: April 5, 2016

Background

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

Introduction

The subject of this report is the Scientific Review Council Meeting peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on March 29, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council Meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on March 29, 2016.

The independent observer noted the following during our observation:

- Over the course of the call, a review of the scoring for the 35 recommended applications was completed to ensure that they would in fact be recommended for funding. A score cut-off was reinforced by the panel as to which applications will move forward.
- Six peer review panelists, two CPRIT staff members and one SRA employee were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-11-RES

Program Name: Academic Research

Panel Name: FY16.2 Imaging Technology and
Informatics

Panel Date: March 11, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Imaging Technology and Informatics peer review of applications for FY16 funding. The meeting was chaired by Sam Gambhir and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 11, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Imaging Technology and Informatics panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Sam Gambhir on March 11, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-9/10-RES

Program Name: Academic Research

Panel Name: FY16.2 Clinical & Translational Cancer
Research and Translational Cancer Research

Panel Date: March 9, 2016 to March 10, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Clinical & Translational Cancer Research and Translational Cancer Research peer review of applications for FY16 funding. The meeting was chaired by Margaret Tempero and held at the Marriott Suites Medical/Market Center in Dallas, TX, on March 9 through March 10, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Clinical & Translational Cancer Research and Translational Cancer Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Margaret Tempero on March 9 through March 10, 2016.

The independent observer noted the following during our observation:

- Twenty applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty-seven peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 9, 2016. Twenty-nine peer review panelists, three advocate reviewers, four CPRIT staff members and six SRA employees were present for the meeting on March 10, 2016.
 - On the first day of the peer review panel, three of the twenty-seven peer review panelists participated via teleconference.
 - On the second day of the peer review panel, three of the twenty-nine peer review panelists participated via teleconference.
- Thirteen conflicts of interest were identified prior to or during the meeting. Applications for eight conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-09-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Prevention Research

Panel Date: March 9, 2016

Report Date: March 18, 2016

Background

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

Introduction

The subject of this report is the Cancer Prevention Research peer review of applications for FY16 funding. The meeting was chaired by Tom Sellers and held via teleconference on March 9, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Cancer Prevention Research panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Sellers on March 9, 2016.

The independent observer noted the following during our observation:

- Five applications were discussed within the Research Peer Review Meeting to determine which grants would receive CPRIT funding.
- Sixteen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-15-RES

Program Name: Academic Research

Panel Name: FY16.2 Cancer Biology

Panel Date: March 15, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Cancer Biology peer review of applications for FY16 funding. The meeting was chaired by Peter Jones and held at the Marriott Suites Medical/Market Center in Dallas TX on March 15, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Cancer Biology panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Peter Jones on March 15, 2016.

The independent observer noted the following during our observation:

- Seventeen applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Twenty peer review panelists, two advocate reviewers, three CPRIT staff members and six SRA employees were present for the meeting.
 - Six of the twenty peer review panelists participated via teleconference.
- Ten conflicts of interest were identified prior to or during the meeting. Applications for four conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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CPRIT Research Peer Review Observation Report

Report #2016-03-16-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 2

Panel Date: March 16, 2016

Report Date: March 25, 2016

Background

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

Introduction

The subject of this report is the Basic Cancer Research 2 peer review of applications for FY16 funding. The meeting was chaired by Carol Prives and held at the Marriott Suites Medical/Market Center in Dallas TX on March 16, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Basic Cancer Research 2 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Carol Prives on March 16, 2016.

The independent observer noted the following during our observation:

- Nine applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Seventeen peer review panelists, two advocate reviewers, three CPRIT staff members and five SRA employees were present for the meeting.
- Three conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Research Peer Review Observation Report

Report #2016-03-14-RES

Program Name: Academic Research

Panel Name: FY16.2 Basic Cancer Research 1

Panel Date: March 14, 2016

Report Date: March 21, 2016

Background

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

Introduction

The subject of this report is the Basic Cancer Research 1 peer review of applications for FY16 funding. The meeting was chaired by Tom Curran and held at the Marriott Suites Medical/Market Center in Dallas TX on March 14, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Basic Cancer Research 1 panel meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Tom Curran on March 14, 2016.

The independent observer noted the following during our observation:

- Seven applications were discussed within the Research Peer Review Meeting to determine which applications would be recommended for funding.
- Nineteen peer review panelists, two advocate reviewers, two CPRIT staff members and six SRA employees were present for the meeting.
 - Two of the nineteen peer review panelists participated via teleconference.
- Three conflicts of interest were identified prior to or during the meeting. None of the applications with conflicts were discussed during the peer review panel.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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Noted Conflicts of Interest

**Conflicts of Interest for Academic Research Cycle 16.2 Applications
(Academic Research Cycle 16.2 Awards Announced at May 18, 2016, 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 Cycle 16.2 include *High Impact/High Risk Research Awards*, *Core Facilities Support Awards*, and *Multi-Investigator Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
No conflicts reported			
Applications not considered by the PIC or Oversight Committee			
RP160703*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-AC*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-C1*	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P1*	MacDonald, Raymond	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P2*	Wilkie, Thomas	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P3*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P4*	Boothman, David	The University of Texas Southwestern Medical Center	Prendergast, George

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160767*	Ghosh, Rita	The University of Texas Health Science Center at San Antonio	Houchens, David
RP160768*	Srivenugopal, Kalkunte	Texas Tech University Health Sciences Center	Wang, Xiao-Fan
RP160774*	Li, Bing	The University of Texas Southwestern Medical Center	Petrini, John
RP160782*	Suh, Junghae	Rice University	Weitzman, Matthew
RP160835	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-AC	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-C1	Zong, Chenghang	Baylor College of Medicine	Petrini, John
RP160835-P1	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-P2	Miller, Kyle	The University of Texas at Austin	Petrini, John
RP160835-P3	Scott, Kenneth	Baylor College of Medicine	Petrini, John
RP160655*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-AC*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-C1*	Wang, Jing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P1*	Wu, Xifeng	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P2*	Ji, Lin	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P3*	Calin, George	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160705*	Orlowski, Robert	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160739	Shi, Xiaobing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160760*	Sikora, Andrew	Baylor College of Medicine	Costello, Joseph; Wahl, Geoffrey
RP160765	Gregory, Carl	Texas A&M University Health Science Center	Fearon, Eric; Lawlor, Elizabeth
RP160769	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-AC	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-C1	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey
RP160840-C2	Farach-Carson, Mary	Rice University	Greene, Geoffrey
RP160840-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-P3	Weigel, Nancy	Baylor College of Medicine	Greene, Geoffrey
RP160856	Kim, Jung-whan	The University of Texas at Dallas	Werb, Zena
RP160661	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-AC	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-C1	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P1	Yang, Ming	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P2	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P3	Shao, Yiping	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P4	Lu, Weigno	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P5	Wang, Jing	The University of Texas Southwestern Medical Center	Koong, Albert

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160663*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-AC*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C1*	Overwijk, Willem	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C2*	Piwnica-Worms, David	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P1*	Liu, Jinsong	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P2*	Sood, Anil	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P3*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160672	Woodman, Scott	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160679*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-AC*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C1*	Kapur, Payal	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C2*	Xie, Xian-Jin	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C3*	Pedrosa, Ivan	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P1*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P2*	Timmerman, Robert	The University of Texas Southwestern Medical Center	Koong, Albert

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160679-P3*	Mani, Ram	The University of Texas Southwestern Medical Center	Koong, Albert
RP160693	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-AC	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C1	Kornblau, Stephen	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C2	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C3	Do, Kim-Anh	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P1	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P2	Rezvani, Katy	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P3	Gottschalk, Stephen	Baylor College of Medicine	DePersio, John
RP160710	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-AC	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-C1	Moulder, Stacy	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-C2	Davies, Peter	Texas A&M University Health Science Center Institute of Biosciences and Technolofy	Kast, W. Martin; Niedzwiecki, Donna
RP160710-C3	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-P1	Thompson, Alastarr	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160710-P2	Hong, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160710-P3	Mani, Sendurai	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP160724*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-AC*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-C1*	Saha, Debabrata	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P1*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P2*	Aroumougame, Asaithamby	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P3*	Chen, Ping-Chi	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P4*	Hannan, Raquibul	The University of Texas Southwestern Medical Center	Koong, Albert
RP160745	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-AC	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-C1	Rosen, Daniel	Baylor Research Institute	Kast, W. Martin
RP160745-C2	Becnel, Lauren	Baylor Research Institute	Kast, W. Martin
RP160745-P1	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-P2	Wheeler, David	Baylor Research Institute	Kast, W. Martin
RP160745-P3	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160826	Fleming, Jason	The University of Texas M.D. Anderson Cancer Center	Prados, Michael

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP160843*	Chang, Jenny	The Methodist Hospital Research Institute	Curran, Walter
RP160864*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-AC*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-C1*	Liu, Xuewu	Houston Methodist	Riddell, Stanley
RP160864-C2*	Gee, Adrian	Baylor College of Medicine	Riddell, Stanley
RP160864-P1*	Shen, Haifa	Houston Methodist	Riddell, Stanley
RP160864-P2*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-P3*	Rooney, Cliona	Baylor College of Medicine	Riddell, Stanley
RP160697*	Kundra, Vikas	The University of Texas M.D. Anderson Cancer Center	Johnson, G. Allan
RP160702	Mancini, Michael	Texas A&M University System Health Science Center	Basillion, James
RP160718	Betancourt, Tania	Texas State University-San Marcos	Berbeen, Ross
RP16074	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-C1	Elting, Linda	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C2	Peterson, Susan	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P2	Glordano, Sharon	The University of Texas M.D. Anderson Cancer Center	Barlow, William

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP16074-P3	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-P4	Guadagnolo, Beverly	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160735	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-AC	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-C1	Glickman, Randolph	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-C2	Tiziani, Stefano	The University of Texas at Austin	Barlow, William
RP160735-C3	Gelfond, Jonathan	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P1	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-P2	Slaga, Thomas	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P3	Kumar, Pratap	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P4	Thompson, Ian	The University of Texas Health Science Center at San Antonio	Barlow, William

* = Not discussed

De-Identified Overall Evaluation Scores

Multi-Investigator Research Awards

Academic Research Cycle 16.2

See the “Final Overall Evaluation Scores and Rank Order Scores” section for an explanation of the recommendations by the Scientific Review Council.

Application ID	Final Overall Evaluation Score
RP160652*	2.0
RP160668*	2.0
gy	2.2
gz	2.2
ha	2.4
hb	2.6
hc	2.7
ga	3.0
gb	3.0
gc	3.1
gd	3.3
ge	3.4
gf	3.5
gg	3.5
gh	3.5
gi	3.5
gj	3.5
gk	3.7
gl	3.7
gm	4.0
gn	4.0
go	4.0
gp	4.0
gq	4.0
gr	4.0
gs	4.2
gt	4.5
gu	4.5
gv	4.9
gw	5.0
gx	6.5

The highlighted applications were recommended by the Scientific Review Council but were deferred by the Program Integration Committee.

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

Ludwig Institute for
Cancer Research Ltd

March 29, 2016

Richard D. Kolodner
Ph.D.

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for the **16.2 Core Facilities Support Awards, High-Impact, High-Risk (HIHR) Research Awards, Multi-Investigator Research Awards (MIRA)** grant mechanisms. The SRC met on Tuesday, March 29, 2016 to consider the applications recommended by the peer review panels following their meetings that were held March 9 – March 16, 2016. During the SRC discussion, it was determined that one MIRA (RP160840) received project scores that were not reflected in the overall score, and it was recommended that this application not be moved forward for funding. This resulted in some applications being recommended for grant awards that received scores less favorable than this one application. The applications on the attached list are numerically ranked in the order the SRC recommends the applications be funded after adjustments were made based on success rates.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The SRC accepted the recommendations of the peer review panels concerning adjustments to three grant applications. These adjustments with justifications are listed at the end of the list of recommended projects. The total amount for the applications recommended is \$81,773,066.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, 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	Organization/Company	Application Title	Budget	Mech	Overall Score
1	RP160805	Baylor College of Medicine	Preclinical Candidate Discovery Core	\$5,999,997	CFSA	1.6
2	RP160813	Acelerox	Nanoparticle Prophylaxis for Protection from Chemotherapy Ototoxicity	\$195,665	HIHR	1.8
3	RP160795	Baylor College of Medicine	A "Pap smear" for ovarian cancer	\$200,000	HIHR	1.8
4	RP160657	The University of Texas at Austin	Targeted Therapeutic Drug Discovery & Development Program	\$4,982,636	CFSA	1.9
5	RP160776	The University of Texas at Austin	Rapid Molecular Diagnosis of Lung Cancer Biopsies by Ambient Ionization Mass Spectrometry	\$200,000	HIHR	1.9
6	RP160884	Baylor College of Medicine	RNA processing stress: a new therapeutic entry point in triple-negative breast cancer	\$200,000	HIHR	2.0
7	RP160847	Texas A&M Engineering Experiment Station	A Body Coil for MR Imaging and Spectroscopy of Cancer at 7 Tesla	\$200,000	HIHR	2.0
8	RP160732	The University of Texas Health Science Center at San Antonio	UTHSCSA Cancer Genome Sequencing and Computation Core	\$3,680,756	CFSA	2.0
9	RP160652	The University of Texas M. D. Anderson Cancer Center	Defining and Defeating Mechanistic Subtypes of KRAS-mutant Lung Cancers	\$7,476,300	MIRA	2.0
10	RP160668*	The University of Texas M. D. Anderson Cancer Center	Pathogenesis and Early Progression of Lung Cancer	\$5,757,844	MIRA	2.0
11	RP160834	Texas A&M University	Integrated-cavity-enhanced pre-screening for lung cancer	\$200,000	HIHR	2.1
12	RP160842	Texas A&M University System Health Science Center	Novel roles for NIK in high-grade glioma: regulation of mitochondrial dynamics to control cell migration and invasion	\$200,000	HIHR	2.1
13	RP160716	The University of Texas Health Science Center at San Antonio	Texas Pediatric Patient Derived Xenograft Facility	\$5,079,843	CFSA	2.1
14	RP160713	The University of Texas Southwestern Medical Center	Amino Acid Sensing: Directing Cell Growth through mTORC1	\$198,983	HIHR	2.1
15	RP160693	The University of Texas M. D. Anderson Cancer Center	Acute Myeloid Leukemia in the Immunosuppressed Microenvironment	\$7,500,000	MIRA	2.2
16	RP160739	The University of Texas M. D. Anderson Cancer Center	Targeting Histone Acetylation Readers in MLL-translocated Leukemias	\$200,000	HIHR	2.2
17	RP160661**	The University of Texas Southwestern Medical Center	Towards Carbon Beam Stereotactic Body Radiation Therapy (C-SBRT) for Higher Risk Early Stage Lung Cancer	\$5,129,867	MIRA	2.2
18	RP160667***	The University of Texas M. D. Anderson Cancer Center	DNA-Protein Crosslink Repair Pathways and Cancer Therapy	\$6,376,645	MIRA	2.4
19	RP160822	Texas AgriLife Research	Exploring Geminivirus-encoded suppressor of histone methyltransferases as an anti-cancer drug	\$199,958	HIHR	2.5
20	RP160866	The University of Texas at Dallas	Renal Clearable Nanodelivery System for Triple Negative Breast Cancer Therapy	\$200,000	HIHR	2.6
21	RP160710	The University of Texas M. D. Anderson Cancer Center	A Randomized Clinical Trial Platform with Translational Studies to Overcome Resistance in Triple Negative Breast Cancer	\$7,497,096	MIRA	2.6
22	RP160806	Texas Tech University	Development of high throughput technology to identify drugs for muscle wasting during cancer	\$199,995	HIHR	2.7
23	RP160674	The University of Texas Medical Branch at Galveston	Comparative Effectiveness Research on Cancer in Texas (CERCIT) 2.0	\$7,500,000	MIRA	2.7
24	RP160827	Texas A&M University System Health Science Center	A platform technology for the isolation of anti-cancer monoclonal antibodies from chickens	\$200,000	HIHR	2.8
25	RP160775	The University of Texas Health Science Center at Houston	Becoming fatter to survive: cancer cells increase lipid storage to counter metabolic stress	\$200,000	HIHR	2.8

26	RP160771****	Baylor College of Medicine	The Adolescent and Childhood Cancer Epidemiology and Susceptibility Service (ACCESS) for Texas	\$6,000,000	CFSA	2.9
27	RP160844*****	The University of Texas at San Antonio	Center for Innovative Drug Discovery: Enhancement of a Shared Cancer Resource for South Texas	\$4,598,728	CFSA	2.9
28	RP160841	The University of Texas Health Science Center at San Antonio	Targeting EWS-FLI-1 for degradation	\$200,000	HIHR	2.9
29	RP160765	Texas A&M University System Health Science Center	An unlikely therapeutic target for malignant bone disease: Dkk-1 activates a stress resistance mechanism in bone tumor cells	\$200,000	HIHR	3.1
30	RP160852	Texas State University - San Marcos	Chemo-preventive Approach to Cancer Exploiting a Presumptive Link between Genomic Instability and Structural Stability of non-B DNA Sequences	\$200,000	HIHR	3.1
31	RP160770	The University of Texas at Dallas	Optical opening of blood-brain barrier for brain tumor drug delivery by plasmonic nanobubbles	\$200,000	HIHR	3.1
32	RP160819	Texas AgriLife Research	Quantitative mapping of intracellular protein-protein interactomes in healthy and cancerous cells	\$198,753	HIHR	3.2
33	RP160704	The University of Texas at Austin	High affinity therapeutic mimotope antibodies to the oncogenic Epidermal Growth Factor Receptor	\$200,000	HIHR	3.2
34	RP160763	The University of Texas Health Science Center at Houston	Targeting multiple myeloma stem cell niche	\$200,000	HIHR	3.2

*RP160668 - The peer review panel recommended the deletion of Project 4 from the MIRA application. As a result, the funds dedicated to that project were removed from the budget for a revised total of \$5,757,844. The final score was based on revised scope with the deletion of Project 4.

**RP160661 - The peer review panel recommended the deletion of Project 3 and Project 4 from the MIRA application. As a result, the funds dedicated to those projects was removed from the budget for a revised total of \$5,129,867. The final score was based on revised scope with the deletion of Projects 3 and 4.

***RP160667 - The peer review panel recommended changes to the MIRA application by modifying Project 2 by deleting Aim 3 and reducing the budget by the amount dedicated to that project. Additionally, the panel recommended reducing the budget for Core 1 by 25%. Finally, the panel recommended reducing Core 2 by \$20,000. These changes resulted in a revised budget totaling of \$6,376,645. The final score was

****RP160771 - The peer review panel recommended the overall budget be reduced to the allowable \$6,000,000 for entire funding period. One required reduction is \$500,000 (\$100,000/year) for pilot projects that were not substantiated. Other reductions can be made based on budget negotiations with CPRIT.

*****RP160844 - The peer review panel recommended reducing the personnel budget by 1/3 (\$507,155), removing \$150,000 for pilot projects, and \$100,000 for a software suite. The revised budget total is \$4,598,728. The final score was based on these budget reductions.

CFSA - Core Facilities Support Awards

HIHR - High-Impact/High-Risk Research Awards

MIRA - Multi-Investigator Research Awards



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycle 1
New Company Product Development Awards

Request for Applications



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA C-16-NEWCO-1

New Company Product Development Awards

**Please also refer to the Instructions for Applicants document,
which will be posted August 3, 2015**

Application Receipt Opening Date: August 3, 2015

Application Receipt Closing Date: September 16, 2015

FY 2016

Fiscal Year Award Period

September 1, 2015–August 31, 2016

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RFA VERSION HISTORY

Rev 07/06/15 RFA release

Rev 08/03/15 The resubmission policy was update on pages 4, 9, 10, and 18.

Rev 08/18/15 Revised the Budget and Justification section (section 10.4.13, page 24).
Added a sentence to the Resubmission Policy (section 8.2, page 11).

1. KEY POINTS

This New Company Product Development Award mechanism is governed by the following restrictions:

- Company applicants must be early-stage startup companies with no previous round of professional institutional investment (ie, those that have not yet received Series A financing or a substantive equivalent). Companies at this early stage that are not currently located in Texas but intend to relocate to Texas should apply under this mechanism rather than the Company Relocation Awards mechanism.
- Recipient companies must currently have or must commit to the following: Headquarters or substantial business functions of the company in Texas; personnel sufficient to operate the Texas-based research and/or development activities of the company, along with appropriate management, relocated to or hired from within Texas.
- Of the total program budget, the Cancer Prevention and Research Institute of Texas (CPRIT) will contribute \$2.00 for every \$1.00 contributed, in matching funds, by the company. The demonstration of available matching funds must be made prior to the distribution of CPRIT grant funds, not at the time the application is submitted. CPRIT funds must, whenever possible, be spent in Texas. A company's matching funds must be targeted for the CPRIT-funded project but may be spent outside of Texas.
- CPRIT's contribution to the program will not be greater than \$20 million.
- Funding will be tranced and will be tied to the achievement of contract-specified milestones.
- Funding award contracts will include a revenue-sharing agreement according to CPRIT's policies in force at the time of the award. A copy of the revenue-sharing agreement can be found at www.cprit.state.tx.us. The agreement will require CPRIT to have input on any future patents, agreements, or other financial arrangements related to the products, services, or infrastructure supported by the CPRIT investment. These contract provisions are specified in CPRIT's Administrative Rules, which are also available at www.cprit.state.tx.us.

- An application over 2 years old (last submitted or resubmitted before August 1, 2013) can be resubmitted as a new application, even if it was previously resubmitted (see [section 8.2](#))

2. ABOUT CPRIT

The state of Texas has established 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 product or service development, thereby enhancing the potential for a medical or scientific breakthrough in the prevention, treatment, and possible 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
- Continue to develop and implement the Texas Cancer Plan by promoting the development and coordination of effective and efficient statewide public and private policies, programs, and services related to cancer and by encouraging cooperative, comprehensive, and complementary planning among the public, private, and volunteer sectors involved in cancer prevention, detection, treatment, and research.

CPRIT furthers cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research.

2.1. Product Development Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Product Development Program's principles and priorities will also guide CPRIT staff and the Product Development 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.

Established Principles:

- Moving forward the development of commercial products to diagnose and treat cancer and improve the lives of patients with cancer
- Creation of good, high-paying jobs for Texans
- Sound financial return on the monies invested
- Development of the Texas high-tech life sciences business environment

Product Development Program Priorities

- Funding projects at Texas companies and relocating companies that are most likely to bring important products to the market
- Providing funding that promotes the translation of research at Texas institutions into new companies able to compete in the marketplace
- Identifying and funding projects to develop tools and technologies of special relevance to cancer research, treatment, and prevention

3. EXECUTIVE SUMMARY

CPRIT will foster the creation of high-quality new jobs in Texas by providing financial support for a wide variety of projects relevant to cancer. This RFA is designed to support the formation of oncology-focused companies in Texas. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure. To fulfill this vision, applications may address any product development topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, or cure. The overall goal of this award program is to improve outcomes of patients with cancer by increasing the availability of Food and Drug Administration (FDA)–approved therapeutic interventions with a primary focus on Texas-centric programs.

4. MECHANISM OF SUPPORT

The goal of the New Company Product Development Awards is to finance the research and development of innovative products, services, and infrastructure with significant potential impact on patient care. These investments will assist early-stage startup companies by providing the opportunity to further the research and development of new products for the diagnosis, treatment, supportive care, or prevention of cancer; to establish infrastructure that is critical to the

development of a robust industry; or to fill a treatment, industry, or research gap. This award mechanism will support companies that intend to undertake product research and development in Texas with a strong presence of Texas-based employees. In determining eligibility for this award, CPRIT will evaluate whether applicants have a significant presence in Texas or are willing to relocate to Texas.

5. OBJECTIVES

The state of Texas seeks to attract industry partners in the field of cancer care to advance economic development and cancer care efforts in the state. The goal of this award mechanism is to support the formation and establishment of new startup companies in Texas that will develop products to significantly impact cancer care. These companies must be Texas based or have personnel sufficient to operate the Texas-based research and/or development activities of the company, along with appropriate management, who are willing to relocate to or be hired and remain in Texas for a specified period after funding. Eligible products or services include—but are not limited to—therapeutics (eg, small molecules and biologics), diagnostics, devices, and potential breakthrough technologies, including software and research discovery techniques. Eligible stages of research and development include translational research, proof-of-concept studies, preclinical studies, and phase I or phase II clinical trials. By exception, phase III clinical trials and later-stage product development projects will be considered where circumstances warrant CPRIT investment.

CPRIT’s objectives and program priorities are established by its Oversight Committee. Consistent with the above, these priorities include, “funding projects at Texas companies and relocating companies that are most likely to bring important products to the market.” A full description of CPRIT’s program priorities may be found at <http://www.cprit.state.tx.us/about-cprit/reports/>.

6. FUNDING INFORMATION

This is a 3-year funding program. Financial support will be awarded based upon the breadth and nature of the research and development program proposed. Requested funds must be well justified. Funding will be milestone driven.

Funds may be used for salary and fringe benefits, research supplies, equipment, clinical trial expenses, intellectual property protection, external consultants and service providers, and other appropriate research and development costs, subject to certain limitations set forth by Texas state law. If a company is working on multiple projects, care should be taken to ensure that CPRIT funds are used to support activities directly related to the specific project being funded. Requests for funds to support construction and/or renovation may be considered under compelling circumstances for projects that require facilities that do not already exist in the state of Texas. Texas state law limits the amount of awarded funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs).

Consistent with statutory mandate, of the total program budget, CPRIT will contribute \$2.00 for every \$1.00 contributed, in matching funds, by the company. The demonstration of available matching funds must be made prior to the distribution of CPRIT funds, not at the time the application is submitted. The matching funds commitment may be made on a year-by-year basis.

7. KEY DATES

RFA release	July 6, 2015
Online application opens	August 3, 2015, 7 AM central time
Applications due	September 16, 2015, 3 PM central time
Invitations to present sent	November 2015
Notifications sent if not invited	November 2015
Presentations to CPRIT*	December 2015
Award Notification	May 2016
Anticipated Start Date	June 2016

*Applicants will be notified of their peer review panel assignments prior to the peer review meeting dates. Information on the timing of subsequent steps will be provided to applicants later in the process.

8. ELIGIBILITY

8.1. New Applications

- Early-stage startup companies are eligible. Such companies may have received seed funding from family, friends, and/or angel investors. However, only applicants with no previous round of professional institutional investment (ie, those that have not yet received Series A financing or a substantive equivalent) are eligible. The inclusion of a complete and detailed capitalization table is required for assessment of eligibility.
- Recipient companies must commit to the following: Headquarters of the company with essentially all C-level executives residing in Texas; personnel sufficient to operate the Texas-based research and/or development activities of the company, along with appropriate management, relocated to or hired from within Texas; the company will remain in Texas for a specified period after funding; and use of Texas-based subcontractors and suppliers unless adequate justification is provided for the use of out-of-state entities. To the extent that Texas-based subcontractors or collaborators are not available, non-Texas-based collaborators and subcontractors may be used. However, non-Texas-based collaborators and subcontractors are not eligible to receive funds from CPRIT unless exceptional circumstances are demonstrated and approved by CPRIT.
- In general, a greater extent of commitment to establishing research and/or development functions in Texas will be viewed more favorably by CPRIT. However, it is left to the applicant's judgment to make a case for what they consider to be a sufficient extent of commitment to Texas.
- An applicant may submit only 1 application under this RFA during this funding cycle.
- An application over 2 years old (last submitted or resubmitted before August 1, 2013) can be resubmitted as a new application, even if it was previously resubmitted.
- A company applicant is eligible to receive a grant award only if the applicant certifies that the company, including the company representative, any senior member or key personnel listed on the application, or any company officer or director (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.

- A company applicant is not eligible to receive CPRIT funding if the company representative, any senior member or key personnel listed on the application, or any company officer or director is related to a CPRIT Oversight Committee member.
- The company applicant must report whether the company, company representative, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to 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 company applicants. Certain contractual requirements are mandated by Texas state law or by administrative rules. Although the company applicant need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should familiarize themselves with these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

8.2. Resubmission Policy

- An application previously submitted to CPRIT within the last 2 years (after August 1, 2013) but not funded may be resubmitted once and must follow all resubmission guidelines (see [section 10.4.5](#)). **An application that was last submitted or resubmitted to CPRIT before August 1, 2013 may be submitted as a new application, even if the most recent submittal was a resubmission.** It is expected that significant progress will have been made on the project; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to submit an application with such modest changes.
- An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the applicant or company representative for a project or a change of title of the project that was

previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission.

- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing previous critiques is advisable; however, it does not guarantee the success of the resubmission.** All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

8.3. Renewal Policy

Grant recipients that have previously received CPRIT grant funding may submit an application for competitive renewal under the Established Company Product Development Award RFA. Before submitting a renewal application, applicants must consult with the Product Development Programmatic Office (see [section 13.2](#)) to determine whether it is appropriate for their company to seek renewal funding at this time.

9. APPLICATION REVIEW

9.1. Overview

Applications will be assessed based on evaluation of the quality of the company and the potential for continued product development. CPRIT requires the submission of a comprehensive scientific plan (see [section 10.4.8](#)) and a detailed business plan (see [section 10.4.9](#)). The review will address the commercial viability, product feasibility, scientific merit, and therapeutic impact as detailed in the company's business and scientific plans. The plans will be reviewed by an integrated panel of individuals with biotechnology expertise and experience in translational and

clinical research as well as in the business development/regulatory approval processes for therapeutics, devices, and diagnostics. In addition, advocate reviewers will participate in the review process.

Funding decisions are made by the review process described below.

9.2. Review Process

- **Product Development and Scientific Review:** Applications that pass initial administrative compliance review are assigned to independent CPRIT Product Development Peer Review Panel members for evaluation using the criteria listed below. Based on the initial evaluation and discussion by the Product Development Review Panel, a subset of company applicants may be invited to deliver in-person presentations to the review panel.
- **Due Diligence Review:** Following the in-person presentations, a subset of applications judged to be most meritorious by the Product Development Review Panels will be referred for additional in-depth due diligence, including—but not limited to—intellectual property, management, regulatory, manufacturing, and market assessments. Following the due diligence review, applications will be recommended for funding by the CPRIT Product Development Review Council based on the information set forth in the due diligence and intellectual property reviews, comparisons with applications from the Product Development Review Panels, and programmatic priorities.
- **Program Integration Committee Review:** Applications recommended by the Product Development Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding.
- **Oversight Committee Approval:** The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote.

The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

9.2.1. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Product Development Peer Review Panel members, Product Development 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 Product Development Peer Review Panel members and Product Development Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **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 company applicant (or someone on the applicant's behalf) and the following individuals: An Oversight Committee member, a PIC member, a Product Development Review Panel member, or a Product Development Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.3. Review Criteria

Full peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of the individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

9.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study.

Primary criteria include the following:

Significance and Impact: Will the outcomes of this CPRIT-funded work result in the development of innovative products with significant product development potential? Will the outcome substantially impact the diagnosis, treatment, prevention of cancer, or supportive care for patients with cancer? How would competing products or services affect the value of the proposed offering?

Product: Is there demonstrated proof of relevance, and does the product fulfill a clear, unmet medical or infrastructure need? Has work been conducted that supports the advancement of the proposed product, service, or technology? Can the product be produced or manufactured in a commercially viable fashion? Is there an appropriate basis for a reimbursement strategy?

Market Plan: Is there a realistic assessment of the market size and expected penetration? Has management adequately assessed potential competitors and described how the company's offering will successfully compete with them?

Development Plan and/or Regulatory Path: Is the development plan and/or regulatory path well characterized and appropriate? Is the plan milestone driven, and does it address both a positive and a negative outcome? Does the budget appropriately support the plan?

Competitive Landscape/Intellectual Property: Is the applicant aware of the competitive landscape related to the project? Has the regulatory pathway been adequately described? Have intellectual property issues been addressed?

Scientific Plan: Is the proposed product, service, and/or infrastructure based on a feasible research framework, hypothesis, and/or goal? Are the methods appropriate, and are potential research and developmental obstacles and unexpected outcomes discussed?

Management and Staffing: Does the applicant have the appropriate level of management experience to execute the stated strategy in Texas, especially if the headquarters of the company are not in Texas? Would the proposed team have the needed experience or access to experienced external assistance, facilities, and resources to accomplish all aspects of the proposed plan?

9.3.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed research and development activities.

Secondary criteria include the following:

Budget and Duration of Support: Are the budget and duration appropriate for the proposed work? Will the amount requested enable the applicant to reach appropriate milestones? Is the use of the funds requested in line with the stated objectives of the applicant and CPRIT? Is it clear how funds will be used (Does the use of funds indicate a commitment to conducting the project work in Texas? Is it clear that no CPRIT funds will be sent to the corporate headquarters if those headquarters remain outside of Texas)? Does the proposed investment fund the research and development of the proposed product, service, or technology to a point where, if the results are positive, it is likely that the project will be able to attract further financial support outside of CPRIT?

10. SUBMISSION GUIDELINES

Applicants are advised to carefully review all instructions in this section to ensure the 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. Applications that are missing 1 or more components, exceed the specified page or word limits, or

that do not meet the eligibility requirements listed above will be administratively withdrawn without review.

10.1. Online Application Receipt System and Application Submission Deadline

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 was submitted. The company applicant must create a user account in the system to start and submit an application. The coapplicant, if applicable, must also create a user account to participate in the application. Furthermore, the Authorized Signing Official (ASO) (an individual authorized to sign and submit an application on behalf of the company applicant) must also create a user account in CARS. An application may not be submitted without ASO approval. Only the ASO is authorized to officially submit the application to CPRIT. Applications will be accepted beginning at 7 AM central time on August 3, 2015, and must be submitted by 3 PM central time on September 16, 2015. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

10.2. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT HelpDesk. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

10.3. Product Development Review Fee

All applicants must submit a fee of \$1,000 for product development review. Payment should be made by check or money order payable to CPRIT; electronic and credit card payments are not acceptable. The application ID and the name of the submitter must be indicated on the payment. Unless a request to submit a late fee has been approved by CPRIT, all payments must be postmarked by the application submission deadline and mailed to the following address:

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

10.4. Application Components

Applicants are advised to minimize repetition between application components to the extent possible. In addition, Applicants should use discretion in cross-referencing sections in order to maximize the amount of information presented within the page limits.

10.4.1. Abstract and Significance (5,000 characters)

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Clearly address how the proposed project, if successful, will have a major impact on care of patients with cancer. Explain how this application provides a clear path for acquiring proof-of-principle data necessary for next-stage commercial development.

10.4.2. Layperson's Summary (1,500 characters)

Provide an abbreviated summary for a lay audience using clear, nontechnical terms. Describe specifically how the proposed project would support CPRIT's mission (see [section 2](#)). Would it fill a needed gap in patient care or in the development of a sustainable oncology industry in Texas? Would it synergize with Texas-based resources? Describe the overall goals of the work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the fields of diagnosis, treatment, or prevention of cancer. Clearly address how the company's work, if successful, will have a major impact on the care of patients with cancer. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. The Layperson's Summary will also be used by advocate reviewers in evaluating the significance and impact of the proposed work. Do not include any proprietary information in this section.

10.4.3. Goals and Objectives (1,200 characters each)

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

10.4.4. Timeline (1 page)

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. 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.

10.4.5. Resubmission Summary (1 page)

If this is a resubmission, upload a summary of the approach, including a summary of the applicant's response to previous feedback. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed. If this is not a resubmission, then no summary is required.

Note: An application submitted or resubmitted before August 1, 2013 may be submitted as a new application, even if it was previously resubmitted. For the "new" applications, no summary is required.

10.4.6. Executive Summary (1 page)

Provide an executive summary that clearly explains the product, service, technology, or infrastructure proposed; competition; market need and size; development or implementation plans; regulatory path; reimbursement strategy; and funding needs. Applicants must clearly describe the existing or proposed company infrastructure and personnel located in Texas for this endeavor.

10.4.7. Slide Presentation (10 pages)

Provide a slide presentation summarizing the application. The presentation should be submitted in PDF format, with 1 slide filling each landscape-oriented page. The slides should succinctly capture all essential elements of the application and should stand alone.

10.4.8. Scientific Plan (15 pages)

Present the rationale behind the proposed product or service, emphasizing the pressing problem in cancer care that will be addressed. Summarize the evidence gathered to date in support of the company's ideas. Describe the label claims that the company ultimately hopes to make, and describe the plan to gather evidence to support these claims. Outline the steps to be taken during the proposed period of the award, including the design of the translational or clinical research, methods, and anticipated results. Describe potential problems or pitfalls and alternative approaches. If clinical research is proposed, present a realistic plan to accrue a sufficient number of human subjects meeting the inclusion criteria within the proposed time period.

The Scientific Plan should include a defined Target Product Profile that projects a clear path to full commercial development. The Target Product Profile should include the parameters below; the questions are intended to guide the thinking process and may include, but are not limited to, the examples provided.

- **Identification of a target that is applicable to human cancer treatment.** Is intervention with this target likely to lead to a therapeutic, diagnostic, or medical device that could be useful in the treatment of cancer?
- **Selection of a lead compound, assay, or device technology based on the target.** Is the identification of potential developmental candidates based on a set of in vitro tests followed by selection of a lead candidate based on considerations (as appropriate for the candidate) of pharmacodynamic parameters and the results of preclinical, in vivo, proof-of-principle studies in relevant animal models of disease?
- **Description of a high-level clinical development plan detailing each of the clinical studies the preclinical work is meant to support.** Designing the preclinical program requires an understanding of the duration of the clinical studies required by regulatory authorities. Consequently, a brief outline of each of the phase I, phase II, and phase III studies necessary to obtain regulatory approval and reimbursement funding must be sketched out prior to deciding which toxicology studies would be required.

Additionally, for therapeutics the following apply:

Intended route of administration and dosing regimen. Is the intended route of administration and dosing regimen consistent with accepted convention and medical need for the therapeutic, or will the use of this new agent require a paradigm shift (more frequent or less frequent dosing, new route of administration), and if so, what impact will it have on current standard of care?

Optimization of the lead to ensure desired characteristics, including, but not limited to, the following studies:

- **Absorption, distribution, metabolism, excretion**, including, but not limited to, relevant studies based on route of administration.
- **Safety (studies as mandated by ICH Guidelines).**
- **Biomarkers (assays) that potentially target specific patient populations** for clinical trials.
- **Biomarkers (assays) that can serve as potential pharmacodynamic markers** of clinical activity during early clinical trials designed to demonstrate proof of concept.
- **Proposed current good manufacturing practice** (including estimated costs) that can be scalable from phase I through phase III. Include information if there are possible plans for formulation.

The scientific plan submitted must be of sufficient depth and quality to pass rigorous scrutiny by the highly qualified group of reviewers. To the extent possible, the scientific plan should be driven by data. In the past, applications that have been scored poorly have been criticized for assuming that assertions could be taken on faith. Convincing data are much preferred.

10.4.9. Business Plan (15 pages)

Provide a business plan covering all of the topics below in the order shown. Successful applicants will make thoughtful, careful, and economical use of the limited space. Note that if the company is selected to undergo due diligence, information to support a full intellectual property review will be requested at that time. New Company Product Development Award applicants will be evaluated based not only on the current status of the components of the business plan but

also on whether current weaknesses and gaps are acknowledged and whether plans to address them are outlined.

- A. Products and Markets:** Provide a brief description of the envisioned product and how the product will be administered to patients. Describe the initial market that will be targeted and how the envisioned product will fit within the standard of care.
- B. Regulatory Plans:** Provide a detailed regulatory plan, including preclinical and clinical activities, driven by interactions with the FDA, if possible. Summarize all interactions to date with the FDA.
- C. Risk Analysis:** Describe the specific risks inherent to the product plan and how they would be mitigated.
- D. Current and Pending Support:** Describe all funding sources. Provide a complete and detailed capitalization table, which should include all parties who have investments, stock, or rights in the company. The identities of all parties must be listed. It is not appropriate to list any funding source as anonymous.
- E. Financial Projections:** Provide a detailed source and use analysis of the development plan, focusing on the achievement of specific milestones.
- F. Resources Requested:** Include resources needed for research and product development and for any relocation expenses. The amount being requested from CPRIT and the matching funds should be clearly specified and included together in this section; however, this is the only section of the business plan that does not deal exclusively with CPRIT-requested funds.

- G. Scope of Work and Milestones:** Outline the specific goals of the project. Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract.
- H. Key Personnel Located in Texas and Any Key Management Located Outside of Texas:** Present a plan for recruiting a senior management and scientific team, describing the types of expertise and skillsets that the project will require. For each key person currently on board, provide a paragraph briefly summarizing his or her present title and position, prior industry experience, education, and any other information considered essential for evaluation of qualifications.
- I. Organizational Commitment to Texas:** Describe how CPRIT funding of the applicant's company would benefit the state of Texas. For example, describe how the company would create high-quality new jobs in the state and/or recruit out-of-state talent, and mention any Texas-based subcontractors and suppliers that would be used and any other unique, Texas-based resources that would be leveraged.

10.4.10. Competitive Landscape/Intellectual Property (5 pages)

Complete the Competitive Landscape/Intellectual Property Plan using the template provided on the CARS (<https://CPRITGrants.org>). Provide a clear discussion of the competitive landscape related to the project, including any companies/university laboratories working on similar projects; indicate which of these projects constitute the greatest competitive threat. Describe how the project compares with competitors, and indicate any potential opportunities for partnering with them. Provide a concise discussion of the intellectual property issues related to the project and list any relevant issued patents and patent applications, along with their titles and dates they were filed/published/issued. In addition, list any licensing agreements that the company has signed that are relevant to this application.

10.4.11. Relocation Commitment to Texas (1 page)

If the company will be relocating to Texas, provide a timetable with key dates indicating the plan and commitment to relocate to Texas. In addition, describe which personnel and management will be headquartered in Texas.

10.4.12. Biographical Sketches of Key Scientific Personnel (8 pages)

Provide a biographical sketch for up to 4 key scientific personnel that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 2 pages and must use the “Product Development Programs: Biographical Sketch” template. (In addition, information on the members of the senior management and scientific team should be included in the “Key Personnel” section of the Business Plan [see [section 10.4.9](#)]).

10.4.13. Budget and Justification

This Budget section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds. The Budget for Senior/Key Persons and Other Personnel, the Detailed Budget for Year 1, the Budget for Entire Proposed Period of Performance, and the Budget Justification (15,000 characters) should be included.

For the Budget Justification, provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. The budget must be aligned with the proposed milestones. In preparing the requested budget, applicants should be aware of the following:

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas state law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT’s Administrative Rules, which are available at www.cprit.state.tx.us.
- The annual salary that an individual may receive under a CPRIT award for FY 2016 is \$200,000. In other words, an individual may request salary proportional to the percentage

effort up to a maximum of \$200,000. Salary does not include fringe benefits. CPRIT FY 2016 is from September 1, 2015, through August 31, 2016.

11. AWARD ADMINISTRATION

Texas law requires that CPRIT awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to entities, not to individuals. 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.state.tx.us. Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in chapter 703, sections 703.10 to 703.12.

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

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

Project Economics Sharing: Recipients should also be aware that the funding award contract will include a revenue-sharing agreement, which can be found at www.cprit.state.tx.us and will

require CPRIT to have input on any future patents, agreements, or other financial arrangements related to the products, services, or infrastructure supported by the CPRIT investment. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.state.tx.us.

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas state law requires that prior to disbursement of CPRIT grant funds, the award recipient demonstrate that it has \$1.00 in matching funds for every \$2.00 from CPRIT. Matching funds need not be in hand when the application is submitted. However, matching funds must be obtained before CPRIT funds will be released for use. CPRIT funds must, whenever possible, be spent in Texas. A company's matching funds must be designated for the CPRIT-funded project but may be spent outside of Texas. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements associated with demonstration of available funds.

13. CONTACT INFORMATION

13.1. 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 are not in a position to answer questions regarding scientific and commercialization aspects of applications. **Before contacting the HelpDesk, please refer to the *Instructions for Applicants* document, which provides a step-by-step guide on using CARS.**

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

13.2. Programmatic Questions

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

Tel: 512-305-7676
Email: Help@CPRITGrants.org
Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Product Development Peer Review Observation Report

Report #2015-10-30-PDEV

Program Name: Product Development

Panel Name: FY16.1 Product Development Screening
Panel 1

Panel Date: October 30, 2015

Report Date: November 9, 2015

Background

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

Introduction

The subject of this report is the Product Development Screening Panel 1 peer review of applications for FY16 funding. The meeting was chaired by Jack Geltosky and held via teleconference on October 30, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Product Development Screening Panel 1 meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Jack Geltosky on October 30, 2015

The independent observer noted the following during our observation:

- Eleven applications were discussed within the Product Development Peer Review to determine which grants would receive CPRIT funding.
- Eleven peer review panelists, two advocate reviewers, two CPRIT staff members and two SRA employees were present for the meeting.
 - The Review Technical Assistant from SRA was only present for the discussion of two applications.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Product Development Peer Review Observation Report

Report #2015-10-29-PDEV

Program Name: Product Development

Panel Name: FY16.1 Product Development Screening
Panel 2

Panel Date: October 29, 2015

Report Date: November 9, 2015

Background

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

Introduction

The subject of this report is the Product Development Screening Panel 2 peer review of applications for FY16 funding. The meeting was chaired by David Shoemaker and held via teleconference on October 29, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Product Development Screening Panel 2 meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by David Shoemaker on October 29, 2015

The independent observer noted the following during our observation:

- Ten applications were discussed within the Product Development Peer Review to determine which grants would receive CPRIT funding.
- Ten peer review panelists, two advocate reviewers, four CPRIT staff members and two SRA employees were present for the meeting.
 - The Review Technical Assistant from SRA was only present for the discussion of one application.
- Two conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Product Development Peer Review Observation Report

Report #2015-12-03-PDEV

Program Name: Product Development

Panel Name: FY16.1 Product Development Panel 1

Panel Date: December 3, 2015

Report Date: December 11, 2015

Background

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

Introduction

The subject of this report is the Product Development Panel 1 peer review of applications for FY16 funding. The meeting was co-chaired by Jack Geltosky (via teleconference) and Roy Cosan and held at the Hyatt Regency in Dallas TX on December 3, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Product Development Panel 1 meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and co-chaired by Jack Geltosky (via teleconference) and Roy Cosan on December 3, 2015.

The independent observer noted the following during our observation:

- Five applications were presented, discussed, and reviewed within the Product Development Peer Review to determine which grants would receive CPRIT funding.
- Each applicant delivered a twenty minute proposal presentation, followed by a Questions and Answers (Q&A) session which did not exceed twenty-five minutes to the peer review panel. Three presenters per application attended in person and via teleconference, for a total of twenty-four presenters.
- Eleven peer review panelists, two advocate reviewers, three CPRIT staff members and four SRA employees were present for the meeting.
 - One of the eleven peer review panelists participated via teleconference.
- Two conflicts of interest were identified prior to or during the meeting. Applications for two conflicts were discussed during the peer review panel. The reviewers with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Product Development Peer Review Observation Report

Report #2015-12-01/02-PDEV

Program Name: Product Development

Panel Name: FY16.1 Product Development Panel 2

Panel Date(s): December 1, 2015 to December 2, 2015

Report Date: December 11, 2015

Background

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

Introduction

The subject of this report is the Product Development Panel 2 peer review of applications for FY16 funding. The meeting was chaired by David Shoemaker and held at the Hyatt Regency in Dallas TX on December 1 through December 2, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Product Development Panel 2 meeting held in-person. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by David Shoemaker on December 1 through December 2, 2015.

The independent observer noted the following during our observation:

- Seven applications were presented, discussed, and reviewed within the Product Development Peer Review to determine which grants would receive CPRIT funding.
- Each applicant delivered a twenty minute proposal presentation, followed by a Questions and Answers (Q&A) session which did not exceed twenty-five minutes to the peer review panel. Three presenters per application attended in person and via teleconference, for a total of thirty-one presenters.
- Ten peer review panelists, two advocate reviewers, five CPRIT staff members and five SRA employees were present for the meeting on December 1, 2015. Ten peer review panelists, two advocate reviewers, three CPRIT staff members and four SRA employees were present for the meeting on December 2, 2015.
 - On the second day of the peer review panel, one of the ten peer review panelists participated via teleconference.
- Two conflicts of interest were identified prior to or during the meeting. Applications for one conflict was discussed during the second day of the peer review panel. The reviewer with the conflict of interest did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Product Development Review Council Meeting Observation Report

Report #2016-03-21-PDEV

Program Name: Product Development

Panel Name: FY16.1 Due Diligence Evaluation
Meeting

Panel Date: March 21, 2016

Report Date: March 30, 2016

Background

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

Introduction

The subject of this report is the Due Diligence Evaluation Meeting peer review of applications for FY16 funding. The meeting was chaired by Jack Geltosky and held via teleconference on March 21, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Due Diligence Evaluation meeting via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Jack Geltosky on March 21, 2016.

The independent observer noted the following during our observation:

- Five applications were discussed within the Due Diligence Evaluation Meeting to determine which applications would be recommended for funding.
- Eight peer review panelists, three CPRIT staff members, two SRA employees and one IP attorney was present via teleconference on March 21, 2016.
 - Three of the eight peer review panelists were primary reviewers and only participated in the discussion of applications they were assigned.
 - The IP attorney was present for one of the five applications discussed.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflicts of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Noted Conflicts of Interest

**Conflicts of Interest for Product Development Research Cycle 16.1 Applications
(Product Development Research Cycle 16.1 Awards Announced at May 18, 2016, 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 Product Development Research Cycle 16.1 include *New Company Product Development Awards*, *Established Company Product Development Awards*, and *Company Relocation Product Development Awards*. 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	Organization	Conflict Noted
Applications considered by the PIC and Oversight Committee			
DP160012	Hornblower, Josiah	Pelican Therapeutics	Kramer, Robert; Saxberg, Bo; Pegram, Mark
DP160014	Arthur, David	Salarius Pharmaceuticals LLC	Saxberg, Bo, Spector, Neil; Yamashita, Elizabeth; Gavin, Brenda
Applications not considered by the PIC or Oversight Committee			
DP160015	Liu, Qingyun	Wntrix, Inc.	Kramer, Robert; Saxberg, Bo; Yamashita, Elizabeth
DP160035	Matthews, Bill	Leuchemix, Inc.	Kramer, Robert; Saxberg, Bo
DP160039	Jiang, Steve	Texas Radiotherapy Innovation & Optimization, Inc.	Kramer, Robert; Yamashita, Elizabeth
DP160016*	Alila, Hector	Experance Pharmaceuticals, Inc.	Weng, David

* = Not discussed

High Level Summary of Due Diligence

High Level Summary of CPRIT Diligence and Recommendation

Pelican Therapeutics.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding. The PDRC recommends certain contract contingencies noted in the recommendation letter.

Pelican is developing a first in class immunotherapy targeting a newly identified receptor. IT has the potential to work on multiple cancers where this receptor is found. One reviewer summarized the significant and impact as follows; *“This proposal advances one of the most promising leads in cancer treatments, i.e., the harnessing of the immune system. If successful, this product could be a game changer for many patients that have cancer. The proposed work is particularly attractive for several reasons: (1) It has the potential to have broad applicability across several cancers, (2) it is likely to be synergistic with both current standard of care and the immunotherapies currently being developed, (3) it has the potential to be applicable from early stage disease to advanced disease, and (4) competing products may actually prove to have synergistic activity with the proposed product.”*

The PDRC recommends the company update its “freedom to operate” opinion as an initial contract contingency to insure Pelican’s technology does not infringe existing patents. Other objectives the PDRC requested be included in the contract are;

- Develop a comprehensive IP strategy with the goal of obtaining a composition of matter patent
- Collaborate with clinical and regulatory advisors to finalize clinical trial strategy;
- Collaborate with clinical and regulatory advisors to plan Pre-IND meeting with FDA;
- Update Target Product Prolife when initial indication is selected;
- Insure CMC contractor has appropriate capabilities and company has resources to manage CMC mfg..

Salarius Pharmaceuticals

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding. The PDRC recommends certain contract contingencies noted in the recommendation letter.

Pelican is developing a novel therapy for Ewing’s Sarcoma, a pediatric cancer with poor prognosis. If successful, this will be first specific therapy for Ewing’s Sarcoma. One reviewer summarized the significant and impact as follows; *“This may represent the first new therapy for this disease in more than a generation and the probability of success is rather high: (1) The target, LSD1, is well validated given what is known about the molecular genetics of this disease as being driven by a gene translocation in EWS/FL1 and the role of LSD1 in regulating the downstream effects of this gene translocation; (2) the development compound, SP-2577 represents a best in class LSD1 inhibitor, and (3) Ewing’s is a lethal disease with a 70-80% 5 year mortality.”*

The PDRC recommends the company update its “freedom to operate” opinion as an initial contract contingency to insure Salarius’s technology does not infringe existing patents. Other objectives the PDRC requested be included in the contract are;

- Collaborate with clinical and regulatory advisors to finalize clinical trial strategy, including potential expanded access program, selection of endpoints and protocols;
- Collaborate with clinical and regulatory advisors to plan Pre-IND meeting with FDA;
- Complete required ADME, toxicology and safety testing;
- Assess and finalize initial indication: Ewing’s Sarcoma or Prostate Cancer, based on updated market analysis and assessment of clinical utility;
- Completed identification and development plan for backup compound.

De-Identified Overall Evaluation Scores

New Company Product Development Awards

Product Development Research Cycle 16.1

Application ID	Final Overall Evaluation Score
DP160014*	2.0
DP160012*	2.3
a	2.9
b	3.3
c	3.9
d	4.6
e	4.8
f	5.0
g	6.5

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

April 18, 2016

Pete Geren
Oversight Committee Chair
Cancer Prevention and Research Institute of Texas
Via email to pgeren@sidrichardson.org

Wayne R. Roberts
Chief Executive Office and Program Integration Committee Chairman
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.texas.gov

Dear Mr. Geren and Mr. Roberts:

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research grant awards. The companies on the attached list submitted proposals in response to CPRIT requests for application (RFA) released for the first cycle of FY2016. The PDRC recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards to Pelican Therapeutics (Pelican) and Salarius Pharmaceuticals (Salarius). The projects are ranked in the order the PDRC recommends that the applications be funded. Maximum recommended funding amounts and the overall evaluation score are stated for each grant application on the attached table.

The PDRC's recommendations are based on the acceptance of certain contingencies and additional goals and objectives, which are recorded in the "Application Review Recommendations and Changes" forms completed during the review process. These contingencies/goals and objectives should be included in the award contract. In addition, the PDRC understands that CPRIT plans to implement a process for the Chief Product Development Officer to negotiate budgets with the companies prior to the Program Integration Committee's consideration of this recommendation. We support the use of this process to identify any budget items that may be reduced or eliminated.

Each recommendation reflects 50+ hours of individual review and panel discussion of the applicant's proposal as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to: 1.) bring important products to market; 2.) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and 3.) develop tools and technologies of special relevance to cancer research, treatment and prevention.

Sincerely,



/JG/

Jack Geltosky, PhD
Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations*

FY 2016, Cycle 1

Rank	Application ID	Company Name	Project	Maximum Recommended Budget	Overall Score
1	DP160014	Salarius Pharmaceuticals	Developing Epigenetic Drugs that treat Rare Pediatric Cancers	\$18,893,395	2.0
2	DP160012	Pelican Therapeutics	Developing Killer T cell therapy for multiple cancers	\$17,940,143	2.3

*These recommendations are subject to the company's acceptance of certain contract contingencies and/or additional goals and objectives.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2016—Cycles 16.8, 16.9
*Recruitment of Frist-Time,
Tenure-Track Faculty Members*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-RFT-1

Recruitment of First-Time Tenure-Track Faculty Members

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2015**

Application Receipt Dates:

June 22, 2015-June 20, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015-August 31, 2016

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RFA VERSION HISTORY

Rev 6/22/15 RFA release

Rev 9/11/15 Revised Section 5 – Eligibility

- Revised language to indicate that a candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council recommends the candidate for a recruitment award is not eligible for a recruitment award. Also clarification was added indicating that “if a position is offered to the candidate during the period following the Scientific Review Council’s recommendation 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.”

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:

- 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 (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., 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. Funds may not be carried over beyond 4 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

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

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 recommends 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 recommendation following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's recommendation 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 they are completing postdoctoral training.
- Successful candidates will be offered tenure-track academic positions at the rank of assistant professor.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date

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

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

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. 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 p.m. 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 match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

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

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

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

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Letters of Recommendation

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

7.2.11. Research Environment (1 page)

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

7.2.12. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

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

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

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

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

8.1.1. Confidentiality of Review

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

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

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

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

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

8.2. Review Criteria

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

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

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

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

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

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

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

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

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

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

Dates of operation: June 22, 2015 onward (excluding public holidays)

Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time
Wednesday, 8 a.m. to 4 p.m. central time

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Reports

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-03-24-RES

Program Name: Academic Research

Panel Name: FY16.8 Recruitment Review Panel

Panel Date: March 24, 2016

Report Date: March 31, 2016

Background

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

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on March 24, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on March 24, 2016.

The independent observer noted the following during our observation:

- Five applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Seven peer review panelists, two CPRIT staff members and two SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting. Applications for one conflict was discussed during the peer review panel. The reviewer with the conflict of interest either left the room or did not participate telephonically and did not participate in the review of the conflicted application.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Recruitment Scientific Review Council Meeting Observation Report

Report #2016-04-14-RES

Program Name: Academic Research

Panel Name: FY16.9 Recruitment Review Panel

Panel Date: April 14, 2016

Report Date: April 20, 2016

Background

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

Introduction

The subject of this report is the Recruitment Review Panel peer review of applications for FY16 funding. The meeting was chaired by Richard Kolodner and held via teleconference on April 14, 2016.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Recruitment Review Panel meeting held via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on April 14, 2016.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Recruitment Scientific Review Council Meeting to determine which applications would be recommended for funding.
- Six peer review panelists, two CPRIT staff members and two SRA employees were present for the meeting.
- There were no conflicts of interest identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The panelists' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Noted Conflicts of Interest

**Conflicts of Interest for Academic Research Recruitment Cycle 16.8 and 16.9 Applications
(Academic Research Recruitment Cycle 16.8 and 16.9 Awards Announced at May 18, 2016,
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 Cycle 16.2 include *Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Rising Stars; 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	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR160053	Weidanz, Jon	The University of Texas at Arlington	O’Reilly, Richard
Applications not considered by the PIC or Oversight Committee			
No conflicts noted			

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 16.8 and 16.9

Application ID	Final Overall Evaluation Score
RR160047*	1.2
RR160048*	1.6
RR160053*	2.0
RR160055*	2.2
RR160057*	2.6
RR160062*	2.6
sa	3.0
sb	3.0
sc	3.0
sd	3.2

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

Ludwig Institute for
Cancer Research Ltd

March 24, 2016

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

rkolodner@ucsd.edu

San Diego Branch
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CMM-East / Rm 3058
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La Jolla, CA 92093-0669

T 858 534 7804
F 858 534 7750

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

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

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, March 24, 2016 to consider the applications submitted to CPRIT under the **Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycle REC 16.8. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$4,823,067.

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	RR160047	Omid Veisoh	Recruitment of First-Time, Tenure-Track Faculty Members	Rice University	\$2,000,000	1.2
2	RR160048	Lydia Finley	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$2,000,000	1.6
3	RR160053	Mark Pellegrino	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas at Arlington	\$823,067	2.0

San Diego

Ludwig Institute for
Cancer Research Ltd

April 18, 2016

Richard D. Kolodner
Ph.D.

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

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

Mr. Wayne R. Roberts
Chief Executive Officer
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.texas.gov

Dear Mr. Geren and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, April 14, 2016 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 16.9. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended for all cycles is \$6,000,000.

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	Over all Score
1	RR160055	Charles Kaufman	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$ 2,000,000	2.2
2	RR160057	Reto Fiolka	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Southwestern Medical Center	\$ 2,000,000	2.6
3	RR160062	Myron Ignatius	Recruitment of First-Time, Tenure-Track Faculty Members	The University of Texas Health Science Center at San Antonio	\$ 2,000,000	2.6



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP1600012
New Company Product Development Awards

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 *New Company Product Development Awards* Request for Applications (RFA). CPRIT received 18 applications for this RFA. This application was assigned to the Product Development Panel-2 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.

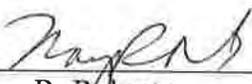
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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
- The 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

Pursuant to TAC § 702.19(e), I granted a waiver from the general prohibition on communication upon a finding that the waiver was in the best interest of the Institute and was not intended to give one applicant advantage over another. The Oversight Committee was notified of the waiver on April 19, 2016 in writing. The waiver allows the CPDO to discuss application budgets with applicants recommended during this review 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 1
PROGRAM Product Development
AWARD MECHANISM New Company Product Development Awards (NEWCO)
APPLICATION ID DP160012
APPLICATION TITLE Pelican Therapeutics
APPLICANT NAME Hornblower, Josiah
ORGANIZATION Pelican Therapeutics
PANEL NAME 16.1 Product Development Panel - 2 (16.1 PDP-2)

Category	Compliance Requirement	Information	Attestation Date
	RFA published in Texas Register	07/17/15	04/19/16
	CPRIT Application Receipt System (CARS) opened	08/03/15	04/08/16
	CPRIT Application Receipt System (CARS) closed	09/16/15	04/08/16
	Date application submitted	09/16/15	04/08/16
	Method of submission	CARS	04/08/16
	Within receipt period	YES	04/08/16
	Request for extension to submit application after CARS closed	N/A	04/08/16
	Request for extension for late application submission accepted	N/A	04/08/16
	Submission of application fee	YES	04/20/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/08/16
	Donation(s) made to CPRIT/foundation	NO	04/08/16
	Assigned to primary reviewers	10/07/15	04/08/16
	Applicant notified of review panel assignment	10/06/15	04/08/16
	Primary Reviewer 1 COI signed	N/A	04/08/16
	Primary (Advocate) Reviewer 2 COI signed	09/25/15	04/08/16
	Primary Reviewer 3 COI signed	09/29/15	04/08/16
3. Screening Teleconference Meeting	Primary Reviewer 4 COI signed	10/16/15	04/08/16
	Primary Reviewer 1 critique submitted	N/A	04/08/16
	Primary (Advocate) Reviewer 2 critique submitted	10/29/15	04/08/16
	Primary Reviewer 3 critique submitted	11/01/15	04/08/16
	Primary Reviewer 4 critique submitted	11/05/15	04/08/16
	COI indicated by non-primary reviewer	Pegram, Mark	04/08/16
	COI recused from participation	YES	04/08/16
	Screening Teleconference Meeting	10/29/15	04/08/16
	Post-Screening Teleconference score report	10/30/15	04/08/16
	Post review statements signed	12/18/15	05/03/16
4. Peer Review Meeting	Third Party Observer Report	11/09/15	04/08/16
	Recommended for On-Site Meeting	YES	04/08/16
	COI indicated by non-primary reviewer	Pegram, Mark	04/08/16
	COI recused from participation	YES	04/08/16
	Peer Review Meeting	12/01/15-12/02/15	04/08/16
	Post review statements signed	12/07/15	04/08/16
	Third Party Observer Report	12/11/15	04/08/16
5. Due Diligence and IP Review	Score report delivered to CPDO	12/21/15	04/08/16
	Recommended for due diligence and IP review	YES	04/08/16
	Final due diligence review submitted to PDRC	03/21/16	04/20/16
6. Final PDRC Recommendation	Intellectual Property conflict check	12/30/15	04/19/16
	Final intellectual property review submitted	03/03/16	04/19/16
	COI indicated by PDRC member	Geltosky, Jack	04/08/16
	COI recused from participation	YES	04/08/16
	COI indicated by PDRC member	Kramer, Robert	04/08/16
	COI recused from participation	YES	04/08/16
	COI indicated by PDRC member	Saxberg, Bo	04/08/16
	COI recused from participation	YES	04/08/16
	Due Diligence Evaluation Meeting / PDRC Meeting	03/21/16	04/08/16
	Third Party Observer Report	03/30/16	04/08/16
7. PIC Review	Recommended for grant award	YES	04/08/16
	PDRC Chair Notification to PIC and OC	04/18/16	04/19/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
8. Oversight Committee Approval	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
Award approved by Oversight Committee	YES/NO		
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP1600014
New Company Product Development Awards

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 *New Company Product Development Awards* Request for Applications (RFA). CPRIT received 18 applications for this RFA. This application was assigned to the Product Development Panel-1 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:

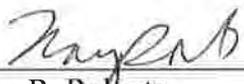
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating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

I note that during the period of restricted communication, the applicant sent the Chief Product Development Officer (CPDO) an electronic communication regarding the substance of the application. The communication was inadvertent and the CPDO immediately notified CPRIT's CEO, General Counsel, and Chief Compliance Officer. The applicant was then instructed not to send any more communication to the CPDO until the period of restricted communication ended. I am satisfied that no unfair advantage resulted from the communication.

Unrelated to the above mentioned communication, and pursuant to TAC § 702.19(e) I granted a waiver from the general prohibition on communication upon a finding that the waiver was in the best interest of the Institute and was not intended to give one applicant advantage over another. The Oversight Committee was notified of the waiver on April 19, 2016 in writing. The waiver allows the CPDO to discuss application budgets with applicants recommended during this review 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 1
PROGRAM Product Development
AWARD MECHANISM New Company Product Development Awards (NEWCO)
APPLICATION ID DP160014
APPLICATION TITLE Saliarius Pharmaceuticals - Developing Epigenetic Drugs that Treat Rare Pediatric Cancers
APPLICANT NAME Arthur, David
ORGANIZATION Saliarius Pharmaceuticals LLC
PANEL NAME 16.1 Product Development Panel - 1 (16.1 PDP-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	07/17/15	04/19/16
	CPRIT Application Receipt System (CARS) opened	08/03/15	03/29/16
	CPRIT Application Receipt System (CARS) closed	09/16/15	03/29/16
	Date application submitted	09/14/15	03/29/16
	Method of submission	CARS	03/29/16
	Within receipt period	YES	03/29/16
	Request for extension to submit application after CARS closed	N/A	03/29/16
	Request for extension for late application submission accepted	N/A	03/29/16
Submission of application fee	YES	04/20/16	
2. Receipt, Referral, and Assignment	Administrative review notification	10/06/15	03/29/16
	Donation(s) made to CPRIT/foundation	NO	03/29/16
	Assigned to primary reviewers	10/06/15	03/29/16
	Applicant notified of review panel assignment	10/06/15 & 10/19/15	03/29/16
	Primary Reviewer 1 COI signed	09/26/15	03/29/16
	Primary (Advocate) Reviewer 2 COI signed	09/26/15	03/29/16
	Primary Reviewer 3 COI signed	10/06/15	03/29/16
Primary Reviewer 4 COI signed	09/27/15	03/29/16	
3. Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	11/04/15	03/29/16
	Primary (Advocate) Reviewer 2 critique submitted	11/04/15	03/29/16
	Primary Reviewer 3 critique submitted	10/30/15	03/29/16
	Primary Reviewer 4 critique submitted	11/04/15	03/29/16
	COI indicated by non-primary reviewer	Gavin, Brenda	03/29/16
	COI recused from participation	YES	03/29/16
	COI indicated by non-primary reviewer	Spector, Neil	03/29/16
	COI recused from participation	YES	03/29/16
	Screening Teleconference Meeting	10/30/15	03/29/16
	Post-Screening Teleconference score report	10/30/15	03/29/16
	Post review statements signed	11/13/15	05/03/16
	Third Party Observer Report	11/09/15	03/29/16
Recommended for On-Site Meeting	YES	03/29/16	
4. Peer Review Meeting	COI indicated by non-primary reviewer	Gavin, Brenda	03/29/16
	COI recused from participation	YES	03/29/16
	COI indicated by non-primary reviewer	Spector, Neil	03/29/16
	COI recused from participation	YES	03/29/16
	Peer Review Meeting	12/03/15	03/29/16
	Post review statements signed	12/07/15	03/29/16
	Third Party Observer Report	12/11/15	03/29/16
	Score report delivered to CPDO	12/21/15	03/29/16
Recommended for due diligence and IP review	YES	03/29/16	
5. Due Diligence and IP Review	Final due diligence review submitted to PDRC	03/21/16	04/20/16
	Intellectual Property conflict check	12/30/15	04/19/16
	Final intellectual property review submitted	03/03/16	04/19/16
6. Final PDRC Recommendation	COI indicated by PDRC member	Saxberg, Bo	04/08/16
	COI recused from participation	YES	04/08/16
	COI indicated by PDRC member	Spector, Neil	04/08/16
	COI recused from participation	YES	04/08/16
	COI indicated by PDRC member	Yamashita, Elizabeth	04/08/16
	COI recused from participation	YES	04/08/16
	Due Diligence Evaluation Meeting / PDRC Meeting	03/21/16	04/08/16
	Third Party Observer Report	03/30/16	04/08/16
Recommended for grant award	YES	04/08/16	
PDRC Chair Notification to PIC and OC	04/18/16	04/19/16	
7. PIC Review	COI Indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
8. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160657
Core Facilities Support Awards

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 *Core Facilities Support Awards* Request for Applications (RFA). CPRIT received 18 applications for this RFA. This application was assigned to the Clinical and Translational Cancer Research and Translational Cancer Research panel 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. I note that decisions for two applications for this RFA that were recommended by the Scientific Review Council were deferred by the Program Integration Committee.

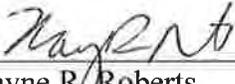
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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
- The 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM Core Facility Support Awards (CFSA)
APPLICATION ID RP160657
APPLICATION TITLE Targeted Therapeutic Drug Discovery & Development Program
APPLICANT NAME Dalby, Kevin
ORGANIZATION The University of Texas at Austin
PANEL NAME 16.2 Clinical / Translational Cancer Research (16.2 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/11/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/11/16
	Date application submitted	10/13/15	04/11/16
	Method of submission	CARS	04/11/16
	Within receipt period	YES	04/11/16
	Request for extension to submit application after CARS closed	N/A	04/11/16
	Request for extension for late application submission accepted	N/A	04/11/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/11/16
	Donation(s) made to CPRIT/foundation	NO	04/11/16
	Assigned to primary reviewers	N/A	04/11/16
	Applicant notified of reviewer panel assignment	11/25/15	04/11/16
	Primary Reviewer 1 COI signed	N/A	04/11/16
	Primary Reviewer 2 COI signed	N/A	04/11/16
	Primary Reviewer 3 COI signed	N/A	04/11/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/11/16
	Primary Reviewer 1 critique submitted	N/A	04/11/16
	Primary Reviewer 2 critique submitted	N/A	04/11/16
	Primary Reviewer 3 critique submitted	N/A	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/11/16
	COI indicated by non-primary reviewer	N/A	04/11/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/11/16
4. Peer Review Meeting	Recommended for full review	N/A	04/11/16
	Applicant notified of outcome	N/A	04/11/16
	Assigned to primary reviewers	01/19/16	04/11/16
	Primary Reviewer 1 COI signed	12/07/15	04/11/16
	Primary Reviewer 2 COI signed	11/09/15	04/11/16
	Primary Reviewer 3 COI signed	12/04/15	04/11/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/11/16
	Primary Reviewer 1 critique submitted	03/01/16	04/11/16
	Primary Reviewer 2 critique submitted	03/02/16	04/11/16
	Primary Reviewer 3 critique submitted	02/25/16	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	02/19/16	04/11/16
	COI indicated by non-primary reviewer	NONE	04/11/16
	COI recused from participation	N/A	04/11/16
	Discussed at Peer Review Meeting	YES	04/11/16
	Peer Review Meeting	03/09/16-03/10/16	04/11/16
	Post review statements signed	03/28/16	04/11/16
Third Party Observer Report	03/21/16	04/11/16	
Score report delivered to CSO	03/28/16	04/11/16	
Recommended for SRC Review	YES	04/11/16	
5. Final SRC Recommendation	COI Indicated by SRC member	NONE	04/11/16
	COI recused from participation	N/A	04/11/16
	SRC Meeting	03/29/16	04/11/16
	Third Party Observer Report	04/05/16	04/11/16
	Recommended for grant award	YES	04/11/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
7. Oversight Committee Approval	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
Award approved by Oversight Committee	YES/NO		
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160716
Core Facilities Support Awards

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 *Core Facilities Support Awards* Request for Applications (RFA). CPRIT received 18 applications for this RFA. This application was assigned to the Clinical and Translational Cancer Research and Translational Cancer Reserach panel 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. I note that decisions for two applications for this RFA that were recommended by the Scientific Review Council were deferred by the Program Integration Committee.

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
- The 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

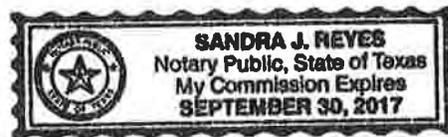
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM Core Facility Support Awards (CFSA)
APPLICATION ID RP160716
APPLICATION TITLE Texas Pediatric Patient Derived Xenograft Facility
APPLICANT NAME Houghton, Peter
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME 16.2 Clinical / Translational Cancer Research (16.2 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/11/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/11/16
	Date application submitted	10/13/15	04/11/16
	Method of submission	CARS	04/11/16
	Within receipt period	YES	04/11/16
	Request for extension to submit application after CARS closed	N/A	04/11/16
Request for extension for late application submission accepted	N/A	04/11/16	
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/11/16
	Donation(s) made to CPRIT/foundation	NO	04/11/16
	Assigned to primary reviewers	N/A	04/11/16
	Applicant notified of review panel assignment	11/25/15	04/11/16
	Primary Reviewer 1 COI signed	N/A	04/11/16
	Primary Reviewer 2 COI signed	N/A	04/11/16
	Primary Reviewer 3 COI signed	N/A	04/11/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/11/16
	Primary Reviewer 1 critique submitted	N/A	04/11/16
	Primary Reviewer 2 critique submitted	N/A	04/11/16
	Primary Reviewer 3 critique submitted	N/A	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/11/16
	COI Indicated by non-primary reviewer	N/A	04/11/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/11/16
4. Peer Review Meeting	Recommended for full review	N/A	04/11/16
	Applicant notified of outcome	N/A	04/11/16
	Assigned to primary reviewers	01/19/16	04/11/16
	Primary Reviewer 1 COI signed	01/07/16	04/11/16
	Primary Reviewer 2 COI signed	01/08/16	04/11/16
	Primary Reviewer 3 COI signed	11/09/15	04/11/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/11/16
	Primary Reviewer 1 critique submitted	03/01/16	04/11/16
	Primary Reviewer 2 critique submitted	02/19/16	04/11/16
	Primary Reviewer 3 critique submitted	03/02/16	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	02/16/16	04/11/16
	COI indicated by non-primary reviewer	NONE	04/11/16
	COI recused from participation	N/A	04/11/16
	Discussed at Peer Review Meeting	YES	04/11/16
	Peer Review Meeting	03/09/16-03/10/16	04/11/16
	Post review statements signed	03/28/16	04/11/16
Third Party Observer Report	03/21/16	04/11/16	
Score report delivered to CSO	03/28/16	04/11/16	
Recommended for SRC Review	YES	04/11/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/11/16
	COI recused from participation	N/A	04/11/16
	SRC Meeting	03/29/16	04/11/16
	Third Party Observer Report	04/05/16	04/11/16
	Recommended for grant award	YES	04/11/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160732
Core Facilities Support Awards

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 *Core Facilities Support Awards* Request for Applications (RFA). CPRIT received 18 applications for this RFA. This application was assigned to the Basic Cancer Research-1 panel 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. I note that decisions for two applications for this RFA that were recommended by the Scientific Review Council were deferred by the Program Integration Committee.

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:

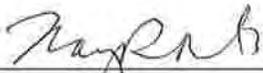
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- The 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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.

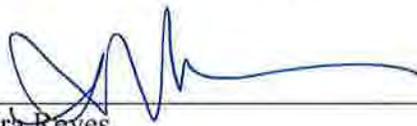
This statement is true.”



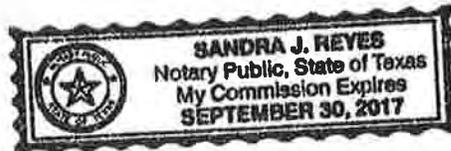
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM Core Facility Support Awards (CFSA)
APPLICATION ID RP160732
APPLICATION TITLE UTHSCSA Cancer Genome Sequencing and Computation Core
APPLICANT NAME Chen, Yidong
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME 16.2 Basic Cancer Research-1 (16.2 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/13/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/09/16
	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
	Primary Reviewer 1 COI signed	N/A	04/09/16
	Primary Reviewer 2 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary Reviewer 3 COI signed	N/A	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
4. Peer Review Meeting	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/20/15	04/09/16
	Primary Reviewer 1 COI signed	11/09/15	04/09/16
	Primary Reviewer 2 COI signed	11/25/15	04/09/16
	Primary Reviewer 3 COI signed	11/09/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/09/15	04/09/16
	Primary Reviewer 1 critique submitted	01/06/16	04/09/16
	Primary Reviewer 2 critique submitted	03/05/16	04/09/16
	Primary Reviewer 3 critique submitted	01/10/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	02/13/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
5. Final SRC Recommendation	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/14/16	04/09/16
	Post review statements signed	03/23/16	04/09/16
	Third Party Observer Report	03/21/16	04/09/16
	Score report delivered to CSO	03/28/16	04/09/16
	Recommended for SRC Review	YES	04/09/16
	COI indicated by SRC member	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
6. PIC Review	SRC Meeting	03/29/16	04/09/16
	Third Party Observer Report	04/05/16	04/09/16
	Recommended for grant award	YES	04/09/16
	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
7. Oversight Committee Approval	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
Award approved by Oversight Committee	YES/NO		
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160805
Core Facilities Support Awards

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 *Core Facilities Support Awards* Request for Applications (RFA). CPRIT received 18 applications for this RFA. This application was assigned to the Cancer Biology panel 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. I note that decisions for two applications for this RFA that were recommended by the Scientific Review Council were deferred by the Program Integration Committee.

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
- The 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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."



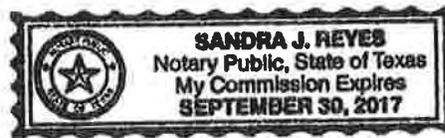
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM Core Facility Support Awards (CFSA)
APPLICATION ID RP160805
APPLICATION TITLE Preclinical Candidate Discovery Core
APPLICANT NAME Matzuk, Martin
ORGANIZATION Baylor College of Medicine
PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/09/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
Request for extension for late application submission accepted	N/A	04/09/16	
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
	Primary Reviewer 1 COI signed	N/A	04/09/16
	Primary Reviewer 2 COI signed	N/A	04/09/16
	Primary Reviewer 3 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
4. Peer Review Meeting	Recommended for full review	N/A	04/09/16
	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/23/15	04/09/16
	Primary Reviewer 1 COI signed	12/18/15	04/09/16
	Primary Reviewer 2 COI signed	02/14/16	04/09/16
	Primary Reviewer 3 COI signed	11/19/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/30/15	04/09/16
	Primary Reviewer 1 critique submitted	03/06/16	04/09/16
	Primary Reviewer 2 critique submitted	03/01/16	04/09/16
	Primary Reviewer 3 critique submitted	03/05/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	03/04/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/15/16	04/09/16
Post review statements signed	03/24/16	04/09/16	
Third Party Observer Report	03/21/16	04/09/16	
Score report delivered to CSO	03/28/16	04/09/16	
Recommended for SRC Review	YES	04/09/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	SRC Meeting	03/29/16	04/09/16
	Third Party Observer Report	04/05/16	04/09/16
	Recommended for grant award	YES	04/09/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160704
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

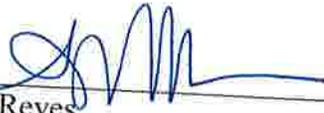
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

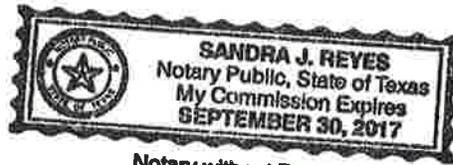


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160704
APPLICATION TITLE High Affinity Therapeutic Mimotope Antibodies to the oncogenic Epidermal Growth Factor Receptor
APPLICANT NAME Tucker, Haley
ORGANIZATION The University of Texas at Austin
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/12/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
Request for extension for late application submission accepted	N/A	04/07/16	
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
	Primary Reviewer 1 COI signed	N/A	04/07/16
	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	04/07/16
	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
	Recommended for full review	N/A	04/07/16
	Applicant notified of outcome	N/A	04/07/16
4. Peer Review Meeting	Assigned to primary reviewers	12/21/16	04/07/16
	Primary Reviewer 1 COI signed	12/10/15	04/07/16
	Primary Reviewer 2 COI signed	11/20/15	04/07/16
	Primary Reviewer 3 COI signed	12/03/15	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/07/16
	Primary Reviewer 1 critique submitted	03/01/16	04/07/16
	Primary Reviewer 2 critique submitted	03/11/16	04/07/16
	Primary Reviewer 3 critique submitted	02/28/16	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	01/21/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/11/16	04/07/16
	Post review statements signed	03/12/16	04/07/16
	Third Party Observer Report	03/21/16	04/12/16
Score report delivered to CSO	03/28/16	04/07/16	
Recommended for SRC Review	YES	04/07/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/12/16
	COI recused from participation	N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
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7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160713
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel 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
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- 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
- The 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

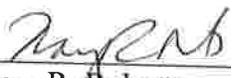
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

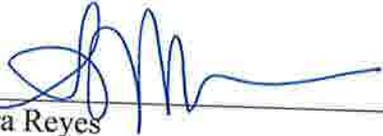
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160713
APPLICATION TITLE Amino Acid Sensing: Directing Cell Growth through mTORC1
APPLICANT NAME Jewell, Jenna
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 16.2 Basic Cancer Research-2 (16.2 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/10/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/10/16
	Date application submitted	10/13/15	04/10/16
	Method of submission	CARS	04/10/16
	Within receipt period	YES	04/10/16
	Request for extension to submit application after CARS closed	N/A	04/10/16
	Request for extension for late application submission accepted	N/A	04/10/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/10/16
	Donation(s) made to CPRIT/foundation	NO	04/10/16
	Assigned to primary reviewers	N/A	04/10/16
	Applicant notified of review panel assignment	11/25/15	04/10/16
	Primary Reviewer 1 COI signed	N/A	04/10/16
	Primary Reviewer 2 COI signed	N/A	04/10/16
	Primary Reviewer 3 COI signed	N/A	04/10/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/10/16
	Primary Reviewer 1 critique submitted	N/A	04/10/16
	Primary Reviewer 2 critique submitted	N/A	04/10/16
	Primary Reviewer 3 critique submitted	N/A	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/10/16
	COI indicated by non-primary reviewer	N/A	04/10/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/10/16
	Recommended for full review	N/A	04/10/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/10/16
	Assigned to primary reviewers	12/24/15	04/10/16
	Primary Reviewer 1 COI signed	11/22/15	04/10/16
	Primary Reviewer 2 COI signed	12/02/15	04/10/16
	Primary Reviewer 3 COI signed	11/20/15	04/10/16
	Primary (Advocate) Reviewer 4 COI signed	12/03/15	04/10/16
	Primary Reviewer 1 critique submitted	03/08/16	04/10/16
	Primary Reviewer 2 critique submitted	03/10/16	04/10/16
	Primary Reviewer 3 critique submitted	03/08/16	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	03/05/16	04/10/16
	COI indicated by non-primary reviewer	NONE	04/10/16
	COI recused from participation	N/A	04/10/16
	Discussed at Peer Review Meeting	YES	04/10/16
	Peer Review Meeting	03/16/16	04/10/16
	Post review statements signed	03/16/16	04/10/16
	Third Party Observer Report	03/25/16	04/10/16
	Score report delivered to CSO	03/28/16	04/10/16
Recommended for SRC Review	YES	04/10/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/10/16
	COI recused from participation	N/A	04/10/16
	SRC Meeting	03/29/16	04/10/16
	Third Party Observer Report	04/05/16	04/10/16
	Recommended for grant award	YES	04/10/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160739
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Cancer Biology panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

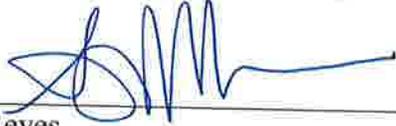
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



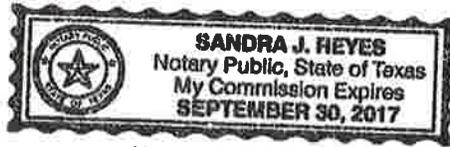
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2016
 CYCLE 2
 PROGRAM Research
 AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
 APPLICATION ID RP160739
 APPLICATION TITLE Targeting Histone Acetylation Readers in MLL-translocated Leukemias
 APPLICANT NAME Shi, Xiaobing
 ORGANIZATION The University of Texas M. D. Anderson Cancer Center
 PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/08/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
	Request for extension for late application submission accepted	N/A	04/09/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
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	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
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	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
	Applicant notified of outcome	N/A	04/09/16
4. Peer Review Meeting	Assigned to primary reviewers	12/23/15	04/09/16
	Primary Reviewer 1 COI signed	11/09/15	04/09/16
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	Primary Reviewer 3 COI signed	12/02/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/30/15	04/09/16
	Primary Reviewer 1 critique submitted	01/27/16	04/09/16
	Primary Reviewer 2 critique submitted	03/06/16	04/09/16
	Primary Reviewer 3 critique submitted	03/06/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	02/04/16	04/09/16
	COI indicated by non-primary reviewer	Bernstein, Bradley	04/09/16
	COI recused from participation	YES	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/15/16	04/09/16
	Post review statements signed	03/24/16	04/09/16
	Third Party Observer Report	03/21/16	04/09/16
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	SRC Meeting	03/29/16	04/09/16
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	Recommended for grant award	YES	04/09/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
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7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160763
High-Impact/High-Risk Research Awards

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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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:

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- 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

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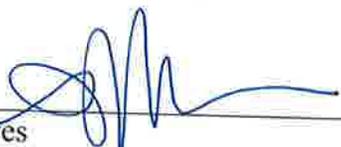
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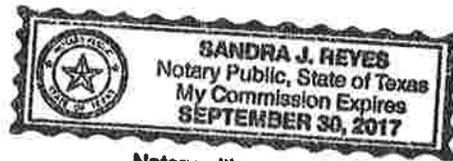


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160763
APPLICATION TITLE Targeting Multiple Myeloma Stem Cell Niche
APPLICANT NAME McCarty, Nami
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/09/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/09/16
	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
	Primary Reviewer 1 COI signed	N/A	04/09/16
	Primary Reviewer 2 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary Reviewer 3 COI signed	N/A	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
4. Peer Review Meeting	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/23/15	04/09/16
	Primary Reviewer 1 COI signed	11/12/15	04/09/16
	Primary Reviewer 2 COI signed	11/27/15	04/09/16
	Primary Reviewer 3 COI signed	12/07/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/30/15	04/09/16
	Primary Reviewer 1 critique submitted	03/06/16	04/09/16
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	Primary Reviewer 3 critique submitted	03/06/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	02/09/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
5. Final SRC Recommendation	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/15/16	04/09/16
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	COI recused from participation	N/A	04/09/16
	SRC Meeting	03/29/16	04/09/16
	Third Party Observer Report	04/05/16	04/09/16
	Recommended for grant award	YES	04/09/16
7. Oversight Committee Approval	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI Indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
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7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160765
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Cancer Biology panel 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:

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- 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

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The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

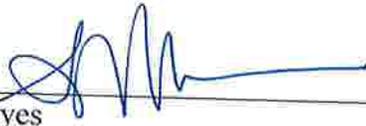
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

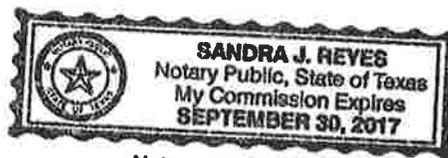


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160765
APPLICATION TITLE An Unlikely Therapeutic Target for Malignant Bone disease: Dkk-1
Activates a Stress Resistance Mechanism in Bone Tumor Cells
APPLICANT NAME Gregory, Carl
ORGANIZATION Texas A&M University System Health Science Center
PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/13/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
	Request for extension for late application submission accepted	N/A	04/09/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
	Primary Reviewer 1 COI signed	N/A	04/09/16
	Primary Reviewer 2 COI signed	N/A	04/09/16
	Primary Reviewer 3 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/23/15	04/09/16
	Primary Reviewer 1 COI signed	11/27/15	04/09/16
	Primary Reviewer 2 COI signed	11/20/15	04/09/16
	Primary Reviewer 3 COI signed	11/19/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/09/15	04/09/16
	Primary Reviewer 1 critique submitted	01/05/16	04/09/16
	Primary Reviewer 2 critique submitted	02/25/16	04/09/16
	Primary Reviewer 3 critique submitted	03/05/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	01/31/16	04/09/16
	COI indicated by non-primary reviewer	Fearon, Eric	04/09/16
	COI recused from participation	YES	04/09/16
	COI indicated by non-primary reviewer	Lawlor, Elizabeth	04/09/16
	COI recused from participation	YES	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/15/16	04/09/16
	Post review statements signed	03/24/16	04/09/16
	Third Party Observer Report	03/21/16	04/09/16
	Score report delivered to CSO	03/28/16	04/09/16
	Recommended for SRC Review	YES	04/09/16
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	SRC Meeting	03/29/16	04/09/16
	Third Party Observer Report	04/05/16	04/09/16
	Recommended for grant award	YES	04/09/16
6. PIC Review	SRC Chair Notification to PIC and DC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160770
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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:

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I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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.”

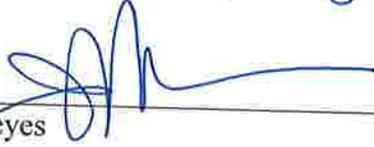


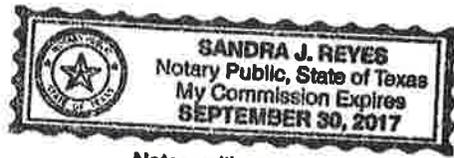
Wayne R. Roberts,

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 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160770
APPLICATION TITLE Optical Opening of Blood-Brain Barrier for Brain Tumor Drug Delivery by Plasmonic Nanobubbles
APPLICANT NAME Qin, Zhenpeng
ORGANIZATION The University of Texas at Dallas
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/13/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/07/16
	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
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	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
	Recommended for full review	N/A	04/07/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/07/16
	Assigned to primary reviewers	12/21/15	04/07/16
	Primary Reviewer 1 COI signed	12/03/15	04/07/16
	Primary Reviewer 2 COI signed	11/23/15	04/07/16
	Primary Reviewer 3 COI signed	11/29/15	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/07/16
	Primary Reviewer 1 critique submitted	02/14/16	04/07/16
	Primary Reviewer 2 critique submitted	02/15/16	04/07/16
	Primary Reviewer 3 critique submitted	03/03/16	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	01/27/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
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	COI indicated by SRC member	NONE	04/12/16
	COI recused from participation	N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
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7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

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CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160775
High-Impact/High-Risk Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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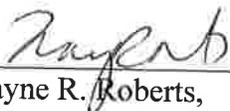
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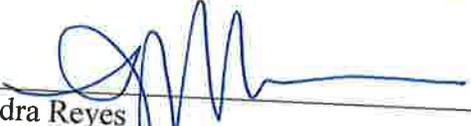
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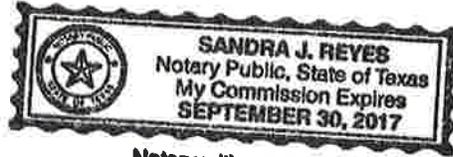


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160775
APPLICATION TITLE Becoming Fatter to Survive: Cancer Cells Increase Lipid Storage to Counter Metabolic Stress
APPLICANT NAME Du, Guangwei
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
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	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
	Request for extension for late application submission accepted	N/A	04/09/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
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	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
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	Third Party Observer Report	04/05/16	04/09/16
6. PIC Review	Recommended for grant award	YES	04/09/16
	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI Indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
7. Oversight Committee Approval	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
Award approved by Oversight Committee	YES/NO		
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160776
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications (RFA)*. CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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.

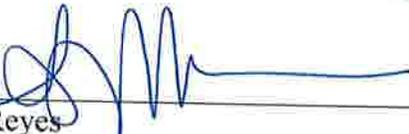
This statement is true."



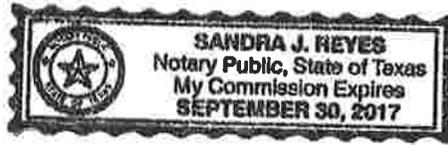
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160776
APPLICATION TITLE Rapid Molecular Diagnosis of Lung Cancer Biopsies by Ambient Ionization Mass Spectrometry
APPLICANT NAME Schiavinato Eberlin, Livia
ORGANIZATION The University of Texas at Austin
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/13/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
Request for extension for late application submission accepted	N/A	04/07/16	
2. Receipt, Referral, and Assignment	Administrative review notification	11/06/15	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
	Primary Reviewer 1 COI signed	N/A	04/07/16
	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary Reviewer 3 COI signed	N/A	04/07/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16
	Primary Reviewer 1 critique submitted	N/A	04/07/16
	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
4. Peer Review Meeting	Recommended for full review	N/A	04/07/16
	Applicant notified of outcome	N/A	04/07/16
	Assigned to primary reviewers	12/21/15	04/07/16
	Primary Reviewer 1 COI signed	11/23/15	04/07/16
	Primary Reviewer 2 COI signed	12/05/15	04/07/16
	Primary Reviewer 3 COI signed	11/09/15	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/07/16
	Primary Reviewer 1 critique submitted	02/27/16	04/07/16
	Primary Reviewer 2 critique submitted	03/06/16	04/07/16
	Primary Reviewer 3 critique submitted	02/27/16	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	03/03/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/11/16	04/07/16
Post review statements signed	03/12/16	04/07/16	
Third Party Observer Report	03/21/16	04/12/16	
Score report delivered to CSO	03/28/16	04/07/16	
Recommended for SRC Review	YES	04/07/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/12/16
	COI recused from participation	N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI Indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160795
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel 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
- The 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

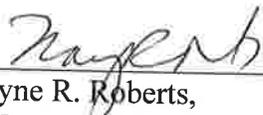
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

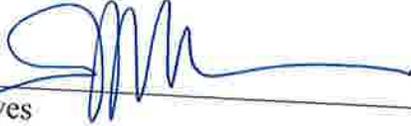
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



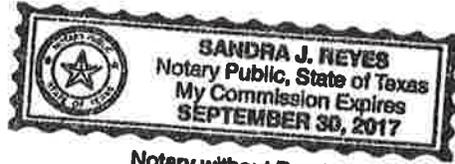
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRRRA)
APPLICATION ID RP160795
APPLICATION TITLE A "Pap smear" for ovarian cancer
APPLICANT NAME Yen, Laising
ORGANIZATION Baylor College of Medicine
PANEL NAME 16.2 Basic Cancer Research-2 (16.2 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/10/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/10/16
	Date application submitted	10/08/15	04/10/16
	Method of submission	CARS	04/10/16
	Within receipt period	YES	04/10/16
	Request for extension to submit application after CARS closed	N/A	04/10/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/10/16
	Administrative review notification	N/A	04/10/16
	Donation(s) made to CPRIT/foundation	NO	04/10/16
	Assigned to primary reviewers	N/A	04/10/16
	Applicant notified of review panel assignment	11/25/15	04/10/16
	Primary Reviewer 1 COI signed	N/A	04/10/16
	Primary Reviewer 2 COI signed	N/A	04/10/16
	Primary Reviewer 3 COI signed	N/A	04/10/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/10/16
	Primary Reviewer 1 critique submitted	N/A	04/10/16
	Primary Reviewer 2 critique submitted	N/A	04/10/16
	Primary Reviewer 3 critique submitted	N/A	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/10/16
	COI indicated by non-primary reviewer	N/A	04/10/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/10/16
	Recommended for full review	N/A	04/10/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/10/16
	Assigned to primary reviewers	12/24/15	04/10/16
	Primary Reviewer 1 COI signed	11/30/15	04/10/16
	Primary Reviewer 2 COI signed	11/19/15	04/10/16
	Primary Reviewer 3 COI signed	11/22/15	04/10/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/10/16
	Primary Reviewer 1 critique submitted	01/28/16	04/10/16
	Primary Reviewer 2 critique submitted	01/11/16	04/10/16
	Primary Reviewer 3 critique submitted	03/10/16	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	02/07/16	04/10/16
	COI indicated by non-primary reviewer	NONE	04/10/16
	COI recused from participation	N/A	04/10/16
	Discussed at Peer Review Meeting	YES	04/10/16
	Peer Review Meeting	03/16/16	04/10/16
	Post review statements signed	03/16/16	04/10/16
Third Party Observer Report	03/25/16	04/10/16	
Score report delivered to CSO	03/28/16	04/10/16	
Recommended for SRC Review	YES	04/10/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/10/16
	COI recused from participation	N/A	04/10/16
	SRC Meeting	03/29/16	04/10/16
	Third Party Observer Report	04/05/16	04/10/16
	Recommended for grant award	YES	04/10/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160806
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications (RFA)*. CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research and Translational Cancer Research panel 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
- The de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
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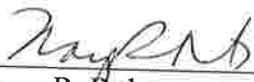
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In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

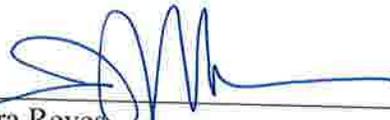
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

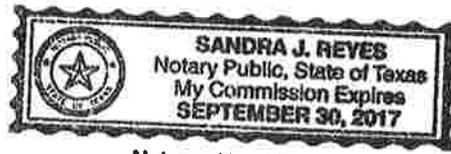


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
 CYCLE 2
 PROGRAM Research
 AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
 APPLICATION ID RP160806
 APPLICATION TITLE Development of High Throughput Technology to Identify Drugs for Muscle Wasting During Cancer
 APPLICANT NAME Vanapalli, Siva
 ORGANIZATION Texas Tech University
 PANEL NAME 16.2 Clinical / Translational Cancer Research (16.2 C/TCR)

Category	Compliance Requirement	Information	Attestation Date	Attesting Party
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16	C. Eckel (CPRIT Staff)
	RFA published in Texas Register	07/24/15	04/13/16	C. Eckel (CPRIT Staff)
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/11/16	J. Boothe (SRA Project Manager)
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/11/16	J. Boothe (SRA Project Manager)
	Date application submitted	10/13/15	04/11/16	J. Boothe (SRA Project Manager)
	Method of submission	CARS	04/11/16	J. Boothe (SRA Project Manager)
	Within receipt period	YES	04/11/16	J. Boothe (SRA Project Manager)
	Request for extension to submit application after CARS closed	N/A	04/11/16	J. Boothe (SRA Project Manager)
Request for extension for late application submission accepted	N/A	04/11/16	J. Boothe (SRA Project Manager)	
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Donation(s) made to CPRIT/foundation	NO	04/11/16	J. Boothe (SRA Project Manager)
	Assigned to primary reviewers	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Applicant notified of review panel assignment	11/25/15	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 1 COI signed	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 COI signed	N/A	04/11/16	J. Boothe (SRA Project Manager)
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Primary (Advocate) Reviewer 4 COI signed	N/A	04/11/16	J. Boothe (SRA Project Manager)	
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 critique submitted	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 3 critique submitted	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/11/16	J. Boothe (SRA Project Manager)
	COI indicated by non-primary reviewer	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Preliminary Evaluation score summary sent to Chair	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Recommended for full review	N/A	04/11/16	J. Boothe (SRA Project Manager)
Applicant notified of outcome	N/A	04/11/16	J. Boothe (SRA Project Manager)	
4. Peer Review Meeting	Assigned to primary reviewers	01/19/16	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 1 COI signed	12/07/15	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 COI signed	01/08/16	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 3 COI signed	12/02/15	04/11/16	J. Boothe (SRA Project Manager)
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 1 critique submitted	03/01/16	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 2 critique submitted	02/21/16	04/11/16	J. Boothe (SRA Project Manager)
	Primary Reviewer 3 critique submitted	03/01/16	04/11/16	J. Boothe (SRA Project Manager)
	Primary (Advocate) Reviewer 4 critique submitted	02/15/16	04/11/16	J. Boothe (SRA Project Manager)
	COI indicated by non-primary reviewer	NONE	04/11/16	J. Boothe (SRA Project Manager)
	COI recused from participation	N/A	04/11/16	J. Boothe (SRA Project Manager)
	Discussed at Peer Review Meeting	YES	04/11/16	J. Boothe (SRA Project Manager)
	Peer Review Meeting	03/09/16-03/10/16	04/11/16	J. Boothe (SRA Project Manager)
	Post review statements signed	03/28/16	04/11/16	J. Boothe (SRA Project Manager)
Third Party Observer Report	03/21/16	04/11/16	J. Boothe (SRA Project Manager)	
Score report delivered to CSO	03/28/16	04/11/16	J. Boothe (SRA Project Manager)	
Recommended for SRC Review	YES	04/11/16	J. Boothe (SRA Project Manager)	
5. Final SRC Recommendation	COI Indicated by SRC member	NONE	04/11/16	J. Boothe (SRA Project Manager)
	COI recused from participation	N/A	04/11/16	J. Boothe (SRA Project Manager)
	SRC Meeting	03/29/16	04/11/16	J. Boothe (SRA Project Manager)
	Third Party Observer Report	04/05/16	04/11/16	J. Boothe (SRA Project Manager)
	Recommended for grant award	YES	04/11/16	J. Boothe (SRA Project Manager)
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16	C. Eckel (CPRIT Staff)
	COI indicated by PIC member	NONE	05/03/16	C. Eckel (CPRIT Staff)
	COI recused from participation	N/A	05/03/16	C. Eckel (CPRIT Staff)
	PIC review meeting	05/03/16	05/03/16	C. Eckel (CPRIT Staff)
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16	C. Eckel (CPRIT Staff)
	CEO Notification to Oversight Committee	DATE		
	COI indicated by Oversight Committee member	NAME or NONE		
	COI recused from participation	YES/NO or N/A		
	Donation(s) made to CPRIT/foundation	YES/NO		
	Presented to CPRIT Oversight Committee	05/18/16		
	Award approved by Oversight Committee	YES/NO		
Authority to advance funds requested	YES/NO			
Advance authority approved by Oversight Committee	YES/NO			

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160813
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications (RFA)*. CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

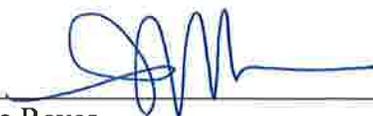
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



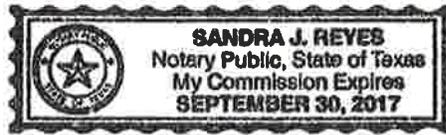
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160813
APPLICATION TITLE Nanoparticle Prophylaxis for Protection from Chemotherapy Ototoxicity
APPLICANT NAME Durst, Christopher
ORGANIZATION Acelerox
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/13/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/07/16
	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
	Primary Reviewer 1 COI signed	N/A	04/07/16
	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary Reviewer 3 COI signed	N/A	04/07/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16
	Primary Reviewer 1 critique submitted	N/A	04/07/16
	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
	Recommended for full review	N/A	04/07/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/07/16
	Assigned to primary reviewers	12/21/15	04/07/16
	Primary Reviewer 1 COI signed	12/11/15	04/07/16
	Primary Reviewer 2 COI signed	11/24/15	04/07/16
	Primary Reviewer 3 COI signed	11/23/15	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/07/16
	Primary Reviewer 1 critique submitted	03/05/16	04/07/16
	Primary Reviewer 2 critique submitted	02/20/16	04/07/16
	Primary Reviewer 3 critique submitted	02/23/16	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	03/03/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/11/16	04/07/16
	Post review statements signed	03/12/16	04/07/16
	Third Party Observer Report	03/21/16	04/12/16
	Score report delivered to CSO	03/28/16	04/07/16
5. Final SRC Recommendation	Recommended for SRC Review	YES	04/07/16
	COI indicated by SRC member	NONE	04/12/16
	COI recused from participation	N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI Indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/19/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160819
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards Request for Applications (RFA)*. CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

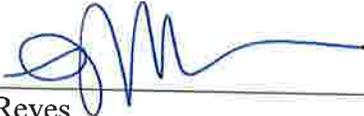
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



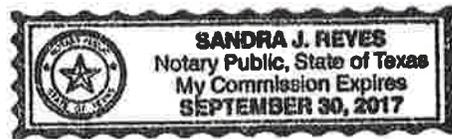
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160819
APPLICATION TITLE Quantitative Mapping of Intracellular Protein-Protein Interactomes in Healthy and Cancerous Cells
APPLICANT NAME Pellois, Jean-Philippe
ORGANIZATION Texas AgriLife Research
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/13/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
Request for extension for late application submission accepted	N/A	04/07/16	
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
	Primary Reviewer 1 COI signed	N/A	04/07/16
	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary Reviewer 3 COI signed	N/A	04/07/16
Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16	
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	04/07/16
	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
	Recommended for full review	N/A	04/07/16
Applicant notified of outcome	N/A	04/07/16	
4. Peer Review Meeting	Assigned to primary reviewers	12/21/15	04/07/16
	Primary Reviewer 1 COI signed	11/23/15	04/07/16
	Primary Reviewer 2 COI signed	11/20/15	04/07/16
	Primary Reviewer 3 COI signed	11/09/15	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/07/16
	Primary Reviewer 1 critique submitted	02/24/16	04/07/16
	Primary Reviewer 2 critique submitted	02/26/16	04/07/16
	Primary Reviewer 3 critique submitted	02/15/16	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	01/28/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/11/16	04/07/16
	Post review statements signed	03/12/16	04/07/16
	Third Party Observer Report	03/21/16	04/12/16
Score report delivered to CSO	03/28/16	04/07/16	
Recommended for SRC Review	YES	04/07/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/12/16
	COI recused from participation	N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160822
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Cancer Biology panel 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
- The 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

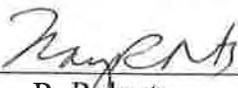
I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

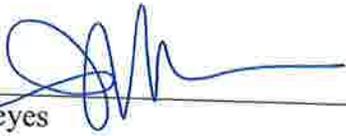
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



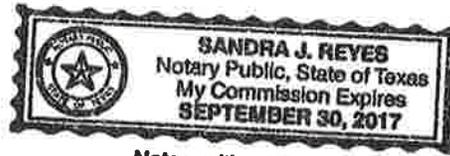
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
 CYCLE 2
 PROGRAM Research
 AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
 APPLICATION ID RP160822
 APPLICATION TITLE Exploring Geminivirus-Encoded Suppressor of Histone Methyltransferases as an Anti-Cancer Drug
 APPLICANT NAME Zhang, Xiuren
 ORGANIZATION Texas AgriLife Research
 PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/13/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
	Request for extension for late application submission accepted	N/A	04/09/16
	2. Receipt, Referral, and Assignment	Administrative review notification	N/A
Donation(s) made to CPRIT/foundation		NO	04/09/16
Assigned to primary reviewers		N/A	04/09/16
Applicant notified of review panel assignment		11/25/15	04/09/16
Primary Reviewer 1 COI signed		N/A	04/09/16
Primary Reviewer 2 COI signed		N/A	04/09/16
Primary Reviewer 3 COI signed		N/A	04/09/16
Primary (Advocate) Reviewer 4 COI signed		N/A	04/09/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
	Applicant notified of outcome	N/A	04/09/16
4. Peer Review Meeting	Assigned to primary reviewers	12/23/15	04/09/16
	Primary Reviewer 1 COI signed	12/01/15	04/09/16
	Primary Reviewer 2 COI signed	11/19/15	04/09/16
	Primary Reviewer 3 COI signed	12/02/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/09/15	04/09/16
	Primary Reviewer 1 critique submitted	03/06/16	04/09/16
	Primary Reviewer 2 critique submitted	03/03/16	04/09/16
	Primary Reviewer 3 critique submitted	03/06/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	01/25/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/15/16	04/09/16
	Post review statements signed	03/24/16	04/09/16
	Third Party Observer Report	03/21/16	04/09/16
	Score report delivered to CSO	03/28/16	04/09/16
Recommended for SRC Review	YES	04/09/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	SRC Meeting	03/29/16	04/09/16
	Third Party Observer Report	04/05/16	04/09/16
	Recommended for grant award	YES	04/09/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
Recommended for grant award	YES	05/03/16	
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160827
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research and Translational Cancer Research panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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.

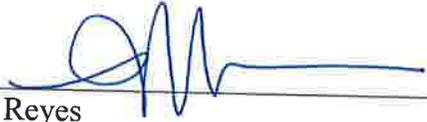
This statement is true."



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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160827
APPLICATION TITLE A Platform Technology for the Isolation of Anti-Cancer Monoclonal Antibodies From Chickens
APPLICANT NAME Chen, Zhilei
ORGANIZATION Texas A&M University System Health Science Center
PANEL NAME 16.2 Clinical / Translational Cancer Research (16.2 C/TCR)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/11/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/11/16
	Date application submitted	10/13/15	04/11/16
	Method of submission	CARS	04/11/16
	Within receipt period	YES	04/11/16
	Request for extension to submit application after CARS closed	N/A	04/11/16
Request for extension for late application submission accepted	N/A	04/11/16	
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/11/16
	Donation(s) made to CPRIT/foundation	NO	04/11/16
	Assigned to primary reviewers	N/A	04/11/16
	Applicant notified of review panel assignment	11/25/15	04/11/16
	Primary Reviewer 1 COI signed	N/A	04/11/16
	Primary Reviewer 2 COI signed	N/A	04/11/16
	Primary Reviewer 3 COI signed	N/A	04/11/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/11/16
	Primary Reviewer 1 critique submitted	N/A	04/11/16
	Primary Reviewer 2 critique submitted	N/A	04/11/16
	Primary Reviewer 3 critique submitted	N/A	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/11/16
	COI indicated by non-primary reviewer	N/A	04/11/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/11/16
4. Peer Review Meeting	Recommended for full review	N/A	04/11/16
	Applicant notified of outcome	N/A	04/11/16
	Assigned to primary reviewers	01/19/16	04/11/16
	Primary Reviewer 1 COI signed	11/23/15	04/11/16
	Primary Reviewer 2 COI signed	11/22/15	04/11/16
	Primary Reviewer 3 COI signed	12/02/15	04/11/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/11/16
	Primary Reviewer 1 critique submitted	02/03/16	04/11/16
	Primary Reviewer 2 critique submitted	03/02/16	04/11/16
	Primary Reviewer 3 critique submitted	03/01/16	04/11/16
	Primary (Advocate) Reviewer 4 critique submitted	02/15/16	04/11/16
	COI indicated by non-primary reviewer	NONE	04/11/16
	COI recused from participation	N/A	04/11/16
	Discussed at Peer Review Meeting	YES	04/11/16
	Peer Review Meeting	03/09/16-03/10/16	04/11/16
	Post review statements signed	03/28/16	04/11/16
	Third Party Observer Report	03/21/16	04/11/16
Score report delivered to CSO	03/28/16	04/11/16	
Recommended for SRC Review	YES	04/11/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/11/16
	COI recused from participation	N/A	04/11/16
	SRC Meeting	03/29/16	04/11/16
	Third Party Observer Report	04/05/16	04/11/16
	Recommended for grant award	YES	04/11/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI Indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160834
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

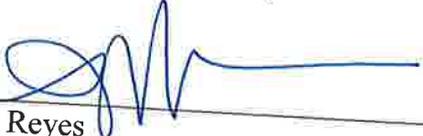
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160834
APPLICATION TITLE Integrated-Cavity-Enhanced Pre-Screening for Lung Cancer
APPLICANT NAME Bevan, John
ORGANIZATION Texas A&M University
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/12/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/07/16
	Administrative review notification	N/A	04/07/16
2. Receipt, Referral, and Assignment	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
	Primary Reviewer 1 COI signed	N/A	04/07/16
	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary Reviewer 3 COI signed	N/A	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16
	3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A
Primary Reviewer 2 critique submitted		N/A	04/07/16
Primary Reviewer 3 critique submitted		N/A	04/07/16
Primary (Advocate) Reviewer 4 critique submitted		N/A	04/07/16
COI indicated by non-primary reviewer		N/A	04/07/16
Preliminary Evaluation score summary sent to Chair		N/A	04/07/16
Recommended for full review		N/A	04/07/16
Applicant notified of outcome		N/A	04/07/16
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	Primary Reviewer 2 COI signed	11/09/15	04/07/16
	Primary Reviewer 3 COI signed	12/03/15	04/07/16
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	Primary Reviewer 1 critique submitted	01/23/16	04/07/16
	Primary Reviewer 2 critique submitted	02/15/16	04/07/16
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	Primary (Advocate) Reviewer 4 critique submitted	01/28/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
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	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/11/16	04/07/16
	Post review statements signed	03/12/16	04/07/16
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	COI recused from participation	YES/NO or N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
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	COI indicated by PIC member	NONE	05/03/16
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7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160841
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

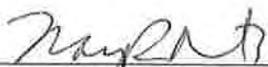
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each mechanism,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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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."

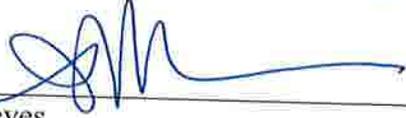


Wayne R. Roberts,

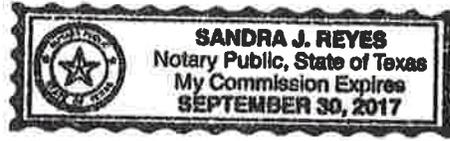
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRRRA)
APPLICATION ID RP160841
APPLICATION TITLE Targeting EWS-FLI-1 for Degradation
APPLICANT NAME Shiao, Yuzuru
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME 16.2 Basic Cancer Research-2 (16.2 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/10/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/10/16
	Date application submitted	10/13/15	04/10/16
	Method of submission	CARS	04/10/16
	Within receipt period	YES	04/10/16
	Request for extension to submit application after CARS closed	N/A	04/10/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/10/16
	Administrative review notification	N/A	04/10/16
	Donation(s) made to CPRIT/foundation	NO	04/10/16
	Assigned to primary reviewers	N/A	04/10/16
	Applicant notified of review panel assignment	11/25/15	04/10/16
	Primary Reviewer 1 COI signed	N/A	04/10/16
	Primary Reviewer 2 COI signed	N/A	04/10/16
3. Preliminary Evaluation	Primary Reviewer 3 COI signed	N/A	04/10/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/10/16
	Primary Reviewer 1 critique submitted	N/A	04/10/16
	Primary Reviewer 2 critique submitted	N/A	04/10/16
	Primary Reviewer 3 critique submitted	N/A	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/10/16
	COI indicated by non-primary reviewer	N/A	04/10/16
4. Peer Review Meeting	Preliminary Evaluation score summary sent to Chair	N/A	04/10/16
	Recommended for full review	N/A	04/10/16
	Applicant notified of outcome	N/A	04/10/16
	Assigned to primary reviewers	12/24/15	04/10/16
	Primary Reviewer 1 COI signed	12/02/15	04/10/16
	Primary Reviewer 2 COI signed	11/22/15	04/10/16
	Primary Reviewer 3 COI signed	11/27/15	04/10/16
	Primary (Advocate) Reviewer 4 COI signed	12/03/15	04/10/16
	Primary Reviewer 1 critique submitted	03/10/16	04/10/16
	Primary Reviewer 2 critique submitted	03/07/16	04/10/16
	Primary Reviewer 3 critique submitted	03/08/16	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	03/04/16	04/10/16
	COI indicated by non-primary reviewer	NONE	04/10/16
	COI recused from participation	N/A	04/10/16
	Discussed at Peer Review Meeting	YES	04/10/16
Peer Review Meeting	03/16/16	04/10/16	
Post review statements signed	03/16/16	04/10/16	
Third Party Observer Report	03/25/16	04/10/16	
Score report delivered to CSO	03/28/16	04/10/16	
5. Final SRC Recommendation	Recommended for SRC Review	YES	04/09/16
	COI Indicated by SRC member	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	SRC Meeting	03/29/16	04/09/16
	Third Party Observer Report	04/05/16	04/09/16
6. PIC Review	Recommended for grant award	YES	04/09/16
	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
7. Oversight Committee Approval	PIC review meeting	05/03/16	
	Recommended for grant award	YES/NO	
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
Award approved by Oversight Committee	YES/NO		
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160842
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Cancer Biology panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

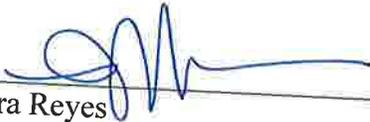
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



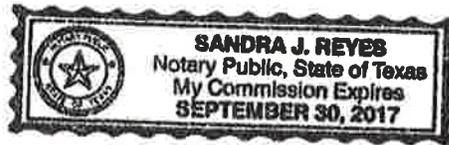
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of may, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160842
APPLICATION TITLE Novel roles for NIK in High-Grade Glioma: Regulation of Mitochondrial Dynamics to Control Cell Migration and Invasion
APPLICANT NAME Sitcheran, Raquel
ORGANIZATION Texas A&M University System Health Science Center
PANEL NAME 16.2 Cancer Biology (16.2 CB)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/13/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
	Request for extension for late application submission accepted	N/A	04/09/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
	Applicant notified of review panel assignment	11/25/15	04/09/16
	Primary Reviewer 1 COI signed	N/A	04/09/16
	Primary Reviewer 2 COI signed	N/A	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/23/15	04/09/16
	Primary Reviewer 1 COI signed	11/19/15	04/09/16
	Primary Reviewer 2 COI signed	12/07/15	04/09/16
	Primary Reviewer 3 COI signed	11/19/15	04/09/16
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	Primary Reviewer 1 critique submitted	03/03/16	04/09/16
	Primary Reviewer 2 critique submitted	03/06/16	04/09/16
	Primary Reviewer 3 critique submitted	03/05/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	01/25/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/15/16	04/09/16
	Post review statements signed	03/24/16	04/09/16
Third Party Observer Report	03/21/16	04/09/16	
Score report delivered to CSO	03/28/16	04/09/16	
Recommended for SRC Review	YES	04/09/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	SRC Meeting	03/29/16	04/09/16
	Third Party Observer Report	04/05/16	04/09/16
	Recommended for grant award	YES	04/09/16
6. PIC Review	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
7. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160847
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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:

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- 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

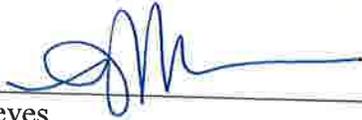
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



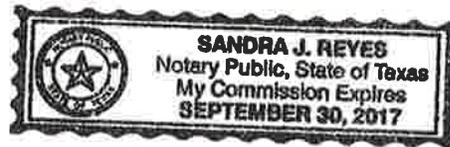
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160847
APPLICATION TITLE A Body Coil for MR Imaging and Spectroscopy of Cancer at 7 Tesla
APPLICANT NAME Wright, Steven
ORGANIZATION Texas A&M Engineering Experiment Station
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
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	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
Request for extension for late application submission accepted	N/A	04/07/16	
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
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	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16
3. Preliminary Evaluation	Primary Reviewer 1 critique submitted	N/A	04/07/16
	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
	Recommended for full review	N/A	04/07/16
Applicant notified of outcome	N/A	04/07/16	
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	Primary Reviewer 1 critique submitted	03/01/16	04/07/16
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	Primary Reviewer 3 critique submitted	03/03/16	04/07/16
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	COI indicated by non-primary reviewer	NONE	04/07/16
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Recommended for SRC Review	YES	04/07/16	
5. Final SRC Recommendation	COI indicated by SRC member	NONE	04/12/16
	COI recused from participation	N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
SRC Chair Notification to PIC and OC	03/29/16	04/13/16	
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	Recommended for grant award	YES	05/03/16
7. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI Indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160852
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160852
APPLICATION TITLE Chemo-preventive Approach to Cancer Exploiting a Presumptive Link between Genomic Instability and Structural Stability of non-B DNA Sequences
APPLICANT NAME Kerwin, Sean
ORGANIZATION Texas State University - San Marcos
PANEL NAME 16.2 Basic Cancer Research-2 (16.2 BCR-2)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/10/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/10/16
	Date application submitted	10/12/15	04/10/16
	Method of submission	CARS	04/10/16
	Within receipt period	YES	04/10/16
	Request for extension to submit application after CARS closed	N/A	04/10/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/10/16
	Administrative review notification	N/A	04/10/16
	Donation(s) made to CPRIT/foundation	NO	04/10/16
	Assigned to primary reviewers	N/A	04/10/16
	Applicant notified of review panel assignment	11/25/15	04/10/16
	Primary Reviewer 1 COI signed	N/A	04/10/16
	Primary Reviewer 2 COI signed	N/A	04/10/16
	Primary Reviewer 3 COI signed	N/A	04/10/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/10/16
	Primary Reviewer 1 critique submitted	N/A	04/10/16
	Primary Reviewer 2 critique submitted	N/A	04/10/16
	Primary Reviewer 3 critique submitted	N/A	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/10/16
	COI indicated by non-primary reviewer	N/A	04/10/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/10/16
	Recommended for full review	N/A	04/10/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/10/16
	Assigned to primary reviewers	12/24/15	04/10/16
	Primary Reviewer 1 COI signed	11/29/15	04/10/16
	Primary Reviewer 2 COI signed	11/23/15	04/10/16
	Primary Reviewer 3 COI signed	11/24/15	04/10/16
	Primary (Advocate) Reviewer 4 COI signed	12/03/15	04/10/16
	Primary Reviewer 1 critique submitted	03/08/16	04/10/16
	Primary Reviewer 2 critique submitted	03/13/16	04/10/16
	Primary Reviewer 3 critique submitted	03/08/16	04/10/16
	Primary (Advocate) Reviewer 4 critique submitted	03/08/16	04/10/16
	COI indicated by non-primary reviewer	NONE	04/10/16
	COI recused from participation	N/A	04/10/16
	Discussed at Peer Review Meeting	YES	04/10/16
	Peer Review Meeting	03/16/16	04/10/16
	Post review statements signed	03/16/16	04/10/16
	Third Party Observer Report	03/25/16	04/10/16
Score report delivered to CSO	03/28/16	04/10/16	
5. Final SRC Recommendation	Recommended for SRC Review	YES	04/10/16
	COI indicated by SRC member	NONE	04/10/16
	COI recused from participation	N/A	04/10/16
	SRC Meeting	03/29/16	04/10/16
	Third Party Observer Report	04/05/16	04/10/16
6. PIC Review	Recommended for grant award	YES	04/10/16
	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
7. Oversight Committee Approval	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160866
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all seven panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

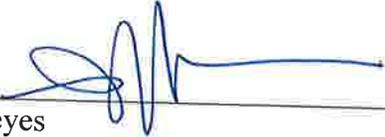
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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

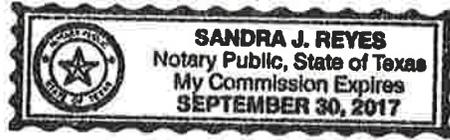


Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRRRA)
APPLICATION ID RP160866
APPLICATION TITLE Renal Clearable Nanodelivery System for Triple Negative Breast Cancer Therapy
APPLICANT NAME Zheng, Jie
ORGANIZATION The University of Texas at Dallas
PANEL NAME 16.2 Imaging Technology and Informatics (16.2 ITI)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/07/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/07/16
	Date application submitted	10/13/15	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
	Request for extension to submit application after CARS closed	N/A	04/07/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/07/16
	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	N/A	04/07/16
	Applicant notified of review panel assignment	11/25/15	04/07/16
	Primary Reviewer 1 COI signed	N/A	04/07/16
	Primary Reviewer 2 COI signed	N/A	04/07/16
	Primary Reviewer 3 COI signed	N/A	04/07/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/07/16
	Primary Reviewer 1 critique submitted	N/A	04/07/16
	Primary Reviewer 2 critique submitted	N/A	04/07/16
	Primary Reviewer 3 critique submitted	N/A	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/07/16
	COI indicated by non-primary reviewer	N/A	04/07/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/07/16
	Recommended for full review	N/A	04/07/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/07/16
	Assigned to primary reviewers	12/21/15	04/07/16
	Primary Reviewer 1 COI signed	12/02/15	04/07/16
	Primary Reviewer 2 COI signed	11/19/15	04/07/16
	Primary Reviewer 3 COI signed	12/10/15	04/07/16
	Primary (Advocate) Reviewer 4 COI signed	11/20/15	04/07/16
	Primary Reviewer 1 critique submitted	03/03/16	04/07/16
	Primary Reviewer 2 critique submitted	03/01/16	04/07/16
	Primary Reviewer 3 critique submitted	03/02/16	04/07/16
	Primary (Advocate) Reviewer 4 critique submitted	02/02/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/11/16	04/07/16
	Post review statements signed	03/12/16	04/07/16
5. Final SRC Recommendation	Third Party Observer Report	03/21/16	04/12/16
	Score report delivered to CSO	03/28/16	04/07/16
	Recommended for SRC Review	YES	04/07/16
	COI indicated by SRC member	NONE	04/12/16
	COI recused from participation	N/A	04/12/16
	SRC Meeting	03/29/16	04/12/16
6. PIC Review	Third Party Observer Report	04/05/16	04/12/16
	Recommended for grant award	YES	04/12/16
	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
7. Oversight Committee Approval	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
7. Oversight Committee Approval	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160884
High-Impact/High-Risk Research Awards

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 *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 153 applications for this RFA, including 2 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel 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:

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- 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
- The 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

I note that 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. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's seven scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. 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 mechanism, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

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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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

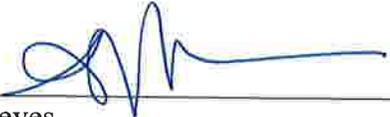
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



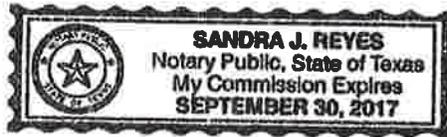
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PEDIGREE

FY 2016
CYCLE 2
PROGRAM Research
AWARD MECHANISM High-Impact/High-Risk Research Awards (HIHRA)
APPLICATION ID RP160884
APPLICATION TITLE RNA Processing Stress: A New Therapeutic Entry Point in Triple-Negative Breast Cancer
APPLICANT NAME Westbrook, Thomas
ORGANIZATION Baylor College of Medicine
PANEL NAME 16.2 Basic Cancer Research-1 (16.2 BCR-1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA approved by CSO	N/A	04/13/16
	RFA published in Texas Register	07/24/15	04/13/16
	CPRIT Application Receipt System (CARS) opened	08/11/15	04/09/16
	CPRIT Application Receipt System (CARS) closed	10/13/15	04/09/16
	Date application submitted	10/13/15	04/09/16
	Method of submission	CARS	04/09/16
	Within receipt period	YES	04/09/16
	Request for extension to submit application after CARS closed	N/A	04/09/16
2. Receipt, Referral, and Assignment	Request for extension for late application submission accepted	N/A	04/09/16
	Administrative review notification	N/A	04/09/16
	Donation(s) made to CPRIT/foundation	NO	04/09/16
	Assigned to primary reviewers	N/A	04/09/16
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	Primary Reviewer 3 COI signed	N/A	04/09/16
3. Preliminary Evaluation	Primary (Advocate) Reviewer 4 COI signed	N/A	04/09/16
	Primary Reviewer 1 critique submitted	N/A	04/09/16
	Primary Reviewer 2 critique submitted	N/A	04/09/16
	Primary Reviewer 3 critique submitted	N/A	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	N/A	04/09/16
	COI indicated by non-primary reviewer	N/A	04/09/16
	Preliminary Evaluation score summary sent to Chair	N/A	04/09/16
	Recommended for full review	N/A	04/09/16
4. Peer Review Meeting	Applicant notified of outcome	N/A	04/09/16
	Assigned to primary reviewers	12/20/15	04/09/16
	Primary Reviewer 1 COI signed	12/03/15	04/09/16
	Primary Reviewer 2 COI signed	11/09/15	04/09/16
	Primary Reviewer 3 COI signed	11/19/15	04/09/16
	Primary (Advocate) Reviewer 4 COI signed	11/09/15	04/09/16
	Primary Reviewer 1 critique submitted	02/22/16	04/09/16
	Primary Reviewer 2 critique submitted	01/28/16	04/09/16
	Primary Reviewer 3 critique submitted	02/16/16	04/09/16
	Primary (Advocate) Reviewer 4 critique submitted	02/16/16	04/09/16
	COI indicated by non-primary reviewer	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	Discussed at Peer Review Meeting	YES	04/09/16
	Peer Review Meeting	03/14/16	04/09/16
	Post review statements signed	03/23/16	04/09/16
5. Final SRC Recommendation	Third Party Observer Report	03/21/16	04/09/16
	Score report delivered to CSO	03/28/16	04/09/16
	Recommended for SRC Review	YES	04/09/16
	COI indicated by SRC member	NONE	04/09/16
	COI recused from participation	N/A	04/09/16
	SRC Meeting	03/29/16	04/09/16
6. PIC Review	Third Party Observer Report	04/05/16	04/09/16
	Recommended for grant award	YES	04/09/16
	SRC Chair Notification to PIC and OC	03/29/16	04/13/16
	COI indicated by PIC member	NONE	05/03/16
7. Oversight Committee Approval	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
7. Oversight Committee Approval	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160652
Multi-Investigator Research Awards

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 *Multi-Investigator Research Awards* Request for Applications (RFA). CPRIT received 31 applications for this RFA. This application was assigned to the Basic Cancer Research-1 panel 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. I note that decisions for five applications for this RFA that were recommended by the Scientific Review Council were deferred by the Program Integration Committee.

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
- The 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

At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 20%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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."



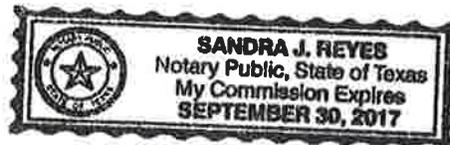
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PERIODS

FY 2018
CYCLE 4
PROGRAM Research
AWARD MECHANISM Multi-investigator Research Awards (MIRA)
APPLICATION ID RP16052
APPLICATION TITLE Defining and Defeating Mechanistic Subtypes of KRAS mutant Lung Cancer
APPLICANT NAME Kurie, Jonathan
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PI/PIE NAME 16 2 Basic Cancer Research 1 (16 2 BCR-1)

Category	Description/Action Item	Completion Date	Completion Status	
1. Pre Receipt	MIRA awarded by CRO	N/A	04/11/16	
	MIRA published in Texas Register	07/28/15	04/11/16	
	CPRIT Application Receipt System (ARS) approval	08/14/15	04/11/16	
	CPRIT Application Receipt System (ARS) closed	10/21/15	04/11/16	
	Data application submitted	10/06/15	04/11/16	
	Receipt of application	N/A	04/11/16	
	Within receipt period	YES	04/11/16	
	Request for extension to submit application after CRO closed	N/A	04/09/16	
	Request for extension for late application submission processed	N/A	04/09/16	
	Administrative review notification	N/A	04/09/16	
	Documents ready for CRO submission	YES	04/09/16	
	Assigned to primary reviewers	12/22/15	04/09/16	
	Receipts received of review panel assignments	11/23/15	04/09/16	
	OVERALL MIRA PROJECT:			
	Primary Reviewer 1 COI signed	11/24/15	04/09/16	
Primary Reviewer 2 COI signed	11/20/15	04/09/16		
Primary (Alternate) Reviewer 3 COI signed	11/20/15	04/09/16		
Primary (Alternate) Reviewer 4 COI signed	N/A	04/09/16		
2. Receipt, Referral, and Assignment	PROJECT 1:			
	Primary Reviewer 1 COI signed	11/23/15	04/09/16	
	Primary Reviewer 2 COI signed	11/20/15	04/09/16	
	Primary (Alternate) Reviewer 3 COI signed	11/20/15	04/09/16	
	Primary (Alternate) Reviewer 4 COI signed	N/A	04/09/16	
	PROJECT 2:			
	Primary Reviewer 1 COI signed	11/23/15	04/09/16	
	Primary Reviewer 2 COI signed	11/20/15	04/09/16	
	Primary Reviewer 3 COI signed	11/20/15	04/09/16	
	Primary (Alternate) Reviewer 4 COI signed	N/A	04/09/16	
	PROJECT 3:			
	Primary Reviewer 1 COI signed	11/23/15	04/09/16	
	Primary Reviewer 2 COI signed	11/20/15	04/09/16	
	Primary Reviewer 3 COI signed	11/20/15	04/09/16	
	Primary (Alternate) Reviewer 4 COI signed	N/A	04/09/16	
	MIRA ADMINISTRATIVE COOL:			
	Primary Reviewer 1 COI signed	11/23/15	04/09/16	
	Primary Reviewer 2 COI signed	11/20/15	04/09/16	
	Primary Reviewer 3 COI signed	11/20/15	04/09/16	
	Primary (Alternate) Reviewer 4 COI signed	N/A	04/09/16	
	COOL 1:			
	Primary Reviewer 1 COI signed	11/23/15	04/09/16	
	Primary Reviewer 2 COI signed	11/20/15	04/09/16	
	Primary Reviewer 3 COI signed	11/20/15	04/09/16	
	Primary (Alternate) Reviewer 4 COI signed	N/A	04/09/16	
	COOL 2:			
	Primary Reviewer 1 COI signed	11/23/15	04/09/16	
	Primary Reviewer 2 COI signed	11/20/15	04/09/16	
	Primary Reviewer 3 COI signed	11/20/15	04/09/16	
	Primary (Alternate) Reviewer 4 COI signed	N/A	04/09/16	
	3. Peer Review Meeting	OVERALL MIRA PROJECT:		
		Primary Reviewer 1 critique submitted	02/04/16	04/09/16
		Primary Reviewer 2 critique submitted	02/04/16	04/09/16
		Primary (Alternate) Reviewer 3 critique submitted	02/02/16	04/09/16
		Primary (Alternate) Reviewer 4 critique submitted	N/A	04/09/16
		PROJECT 1:		
		Primary Reviewer 1 critique submitted	02/02/16	04/09/16
		Primary Reviewer 2 critique submitted	02/02/16	04/09/16
		Primary Reviewer 3 critique submitted	02/02/16	04/09/16
		Primary (Alternate) Reviewer 4 critique submitted	N/A	04/09/16
		PROJECT 2:		
		Primary Reviewer 1 critique submitted	02/02/16	04/09/16
		Primary Reviewer 2 critique submitted	02/02/16	04/09/16
		Primary Reviewer 3 critique submitted	02/02/16	04/09/16
		Primary (Alternate) Reviewer 4 critique submitted	N/A	04/09/16
PROJECT 3:				
Primary Reviewer 1 critique submitted		02/02/16	04/09/16	
Primary Reviewer 2 critique submitted		02/02/16	04/09/16	
Primary Reviewer 3 critique submitted		02/02/16	04/09/16	
Primary (Alternate) Reviewer 4 critique submitted		N/A	04/09/16	
PROJECT 4:				
Primary Reviewer 1 critique submitted		02/02/16	04/09/16	
Primary Reviewer 2 critique submitted		02/02/16	04/09/16	
Primary Reviewer 3 critique submitted		02/02/16	04/09/16	
Primary (Alternate) Reviewer 4 critique submitted		N/A	04/09/16	
MIRA ADMINISTRATIVE COOL:				
Primary Reviewer 1 critique submitted		02/02/16	04/09/16	
Primary Reviewer 2 critique submitted		02/02/16	04/09/16	
Primary Reviewer 3 critique submitted		02/02/16	04/09/16	
Primary (Alternate) Reviewer 4 critique submitted		N/A	04/09/16	
COOL 1:				
Primary Reviewer 1 critique submitted		02/02/16	04/09/16	
Primary Reviewer 2 critique submitted		02/02/16	04/09/16	
Primary Reviewer 3 critique submitted		02/02/16	04/09/16	
Primary (Alternate) Reviewer 4 critique submitted		N/A	04/09/16	
COOL 2:				
Primary Reviewer 1 critique submitted		02/02/16	04/09/16	
Primary Reviewer 2 critique submitted		02/02/16	04/09/16	
Primary Reviewer 3 critique submitted		02/02/16	04/09/16	
Primary (Alternate) Reviewer 4 critique submitted		N/A	04/09/16	
4. Final SRC Recommendation		COI indicated by peer primary reviewers	04/08/16	04/09/16
		COI indicated by alternate reviewers	N/A	04/09/16
		Statement of Peer Review Meeting	YES	04/09/16
		Peer Review Meeting	04/08/16	04/09/16
		Peer Review Meeting Report	04/08/16	04/09/16
	Board report forwarded to CRO	02/24/16	04/09/16	
	Recommended for SRC Review	YES	04/09/16	
	COI indicated by SRC members	NO	04/09/16	
	COI required from participation	N/A	04/09/16	
	COI Meeting	04/08/16	04/09/16	
	Final Peer Review Report	04/08/16	04/09/16	
	Recommended for grant award	YES	04/09/16	
	COI that resulted in PIC and OC	04/08/16	04/09/16	
	COI indicated by PIC member	NO	04/09/16	
	COI required from participation	N/A	04/09/16	
5. PIC Review	COI Meeting	04/08/16	04/09/16	
	Recommended for grant award	YES	04/09/16	
	COI that resulted in Copyright Committee	NO	04/09/16	
	COI indicated by Copyright Committee member	NO	04/09/16	
	COI indicated by PIC member	NO	04/09/16	
6. Oversight Committee Approval	COI Meeting	04/08/16	04/09/16	
	Recommended for grant award	YES	04/09/16	
	COI that resulted in Oversight Committee	NO	04/09/16	
	COI indicated by Oversight Committee member	NO	04/09/16	
	COI indicated by Oversight Committee member	NO	04/09/16	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP160668
Multi-Investigator Research Awards

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 *Multi-Investigator Research Awards* Request for Applications (RFA). CPRIT received 31 applications for this RFA. This application was assigned to the Basic Cancer Research-2 panel 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. I note that decisions for five applications for this RFA that were recommended by the Scientific Review Council were deferred by the Program Integration Committee.

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
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- The de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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At the PIC meeting, the Chief Scientific Officer recommended reducing the budget of this application by 20%. The recommendation was approved unanimously by PIC members; therefore, the award will be recommended to the Oversight Committee with a lower budget.

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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

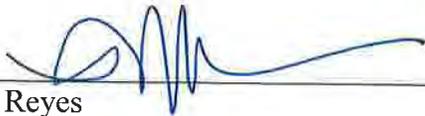
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



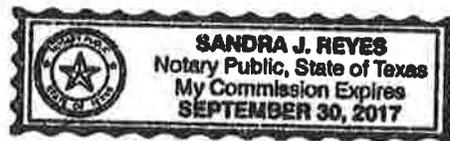
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

CAUCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS
APPLICATION PROFILE

FY 2015
CYCLE 2
PROGRAM Research
AWARD MECHANISM Multi-Investigator Research Awards (MIRA)
APPLICATION ID RP190668
APPLICATION TITLE Pathogenesis and Early Progression of Lung Cancer
APPLICANT NAME WUJIAN HUANG
ORGANIZATION The University of Texas M. D. Anderson Cancer Center
PANEL NAME J6-2 Basic Cancer Research-2 (J6-2 BCR-2)

Category	Description & Submissions	Completed by	Completed Date	
E. Via Receipt	IRB Approved by COO	N/A	07/17/15	
	IRB Submitted to Texas Region	N/A	07/21/15	
	CPRIT Application Received System (CAR) Approval	N/A	08/11/15	
	COPI Application Access System (CAPI) Approval	N/A	08/11/15	
	Cost Application Submitted	N/A	08/11/15	
	Method of Submission	EMAIL	08/11/15	
	Multiple Agents Allowed	YES	08/11/15	
	Request for Extension to Submit Application After CAR Approval	N/A	08/11/15	
	Request for Extension to Submit Application After CAPI Approval	N/A	08/11/15	
	Administrative Review Modification	N/A	08/11/15	
	Director's Review by CPRIT Application	NO	08/11/15	
	Assigned to Study Reviewers	12/24/15	08/11/15	
Applied Pool/Pool of Reviewers Assignment	12/25/15	08/11/15		
F. Receipt, Referral, and Assignment	CORE 1: MIRA PROJECT			
	Primary Reviewer 1 COI signed	N/A	08/11/15	
	Primary Reviewer 2 COI signed	N/A	08/11/15	
	Primary Reviewer 3 COI signed	N/A	08/11/15	
	Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/15	
	PROJECT 1:			
	Primary Reviewer 1 COI signed	11/27/15	08/11/15	
	Primary Reviewer 2 COI signed	12/14/15	08/11/15	
	Primary Reviewer 3 COI signed	11/18/15	08/11/15	
	Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/15	
	PROJECT 2:			
	Primary Reviewer 1 COI signed	11/11/15	08/11/15	
	Primary Reviewer 2 COI signed	11/20/15	08/11/15	
	Primary Reviewer 3 COI signed	11/20/15	08/11/15	
	Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/15	
	PROJECT 3:			
	Primary Reviewer 1 COI signed	11/22/15	08/11/15	
	Primary Reviewer 2 COI signed	12/01/15	08/11/15	
	Primary Reviewer 3 COI signed	12/01/15	08/11/15	
	Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/15	
	PROJECT 4:			
	Primary Reviewer 1 COI signed	11/26/15	08/11/15	
	Primary Reviewer 2 COI signed	11/27/15	08/11/15	
	Primary Reviewer 3 COI signed	11/26/15	08/11/15	
	Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/15	
	CORE 1: MIRA PROJECT			
	Primary Reviewer 1 COI signed	11/20/15	08/11/15	
	Primary Reviewer 2 COI signed	11/20/15	08/11/15	
	Primary Reviewer 3 COI signed	N/A	08/11/15	
	Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/15	
	CORE 2:			
	Primary Reviewer 1 COI signed	11/22/15	08/11/15	
	Primary Reviewer 2 COI signed	11/24/15	08/11/15	
	Primary Reviewer 3 COI signed	N/A	08/11/15	
	Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/15	
	G. Final Review Meeting	CORE 1: MIRA PROJECT		
		Primary Reviewer 1 COI signed	08/14/16	08/11/16
		Primary Reviewer 2 COI signed	09/10/16	08/11/16
		Primary (Alternate) Reviewer 3 COI signed	09/07/16	08/11/16
		Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/16
		PROJECT 1:		
		Primary Reviewer 1 COI signed	09/06/16	08/11/16
		Primary Reviewer 2 COI signed	09/10/16	08/11/16
		Primary Reviewer 3 COI signed	09/06/16	08/11/16
		Primary (Alternate) Reviewer 4 COI signed	N/A	08/11/16
		PROJECT 2:		
		Primary Reviewer 1 COI signed	09/07/16	08/11/16
		Primary Reviewer 2 COI signed	09/07/16	08/11/16
Primary Reviewer 3 COI signed		N/A	08/11/16	
Primary (Alternate) Reviewer 4 COI signed		N/A	08/11/16	
PROJECT 3:				
Primary Reviewer 1 COI signed		09/11/16	08/11/16	
Primary Reviewer 2 COI signed		09/11/16	08/11/16	
Primary Reviewer 3 COI signed		N/A	08/11/16	
Primary (Alternate) Reviewer 4 COI signed		N/A	08/11/16	
PROJECT 4:				
Primary Reviewer 1 COI signed		09/11/16	08/11/16	
Primary Reviewer 2 COI signed		09/09/16	08/11/16	
Primary Reviewer 3 COI signed		09/09/16	08/11/16	
Primary (Alternate) Reviewer 4 COI signed		N/A	08/11/16	
CORE 1: MIRA PROJECT				
Primary Reviewer 1 COI signed		09/15/16	08/11/16	
Primary Reviewer 2 COI signed		09/15/16	08/11/16	
Primary Reviewer 3 COI signed		N/A	08/11/16	
Primary (Alternate) Reviewer 4 COI signed		N/A	08/11/16	
CORE 2:				
Primary Reviewer 1 COI signed		09/16/16	08/11/16	
Primary Reviewer 2 COI signed		09/16/16	08/11/16	
Primary Reviewer 3 COI signed		N/A	08/11/16	
Primary (Alternate) Reviewer 4 COI signed		N/A	08/11/16	
COI indicated by not primary reviewer		NO	08/11/16	
COI received from participation		NO	08/11/16	
Chairman of Final Review Meeting		YES	08/11/16	
Final Review Meeting		08/26/16	08/11/16	
Final Review Meeting signed		08/26/16	08/11/16	
Final Review Meeting Report		08/26/16	08/11/16	
Work Report forwarded to COO		08/26/16	08/11/16	
Recommendation for SAC Review		YES	08/11/16	
COI indicated by SAC Review		NO	08/11/16	
COI received from participation		NO	08/11/16	
SAC Meeting		08/27/16	08/11/16	
Final Review Meeting Report		08/25/16	08/11/16	
Recommendation for grant award		YES	08/11/16	
SAC Chair Participation via IRB and IR	08/27/16	08/11/16		
COI indicated by SAC Review	NO	08/11/16		
COI received from participation	N/A	08/11/16		
PC Review Meeting	08/26/16	08/11/16		
Recommendation for grant award	YES	08/11/16		
COO Notification to Oversight Committee	DATE			
COI indicated by Oversight Committee member	NAME or NONE			
COI received from participation	YES/NO or N/A			
Chairman of Final Review Meeting	YES/NO			
Final Review Meeting signed	YES/DATE			
Final Review Meeting Report	YES/NO			
Work Report forwarded to COO	YES/NO			
Recommendation by Oversight Committee	YES/NO			



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160047
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Omid Veisoh

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received four applications for this cycle 16.8 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

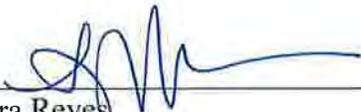
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process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



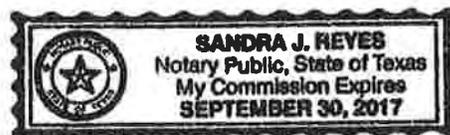
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2016
CYCLE 8
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160047
APPLICATION TITLE Recruitment of First-Time, Tenure-Track Faculty Member -
 Dr. Omid Veisheh
NOMINATOR NAME Thomas, Edwin
CANDIDATE NAME Veisheh, Omid
ORGANIZATION Rice University
PANEL NAME Recruitment FY16 Cycle 8 (REC 16.8)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	04/13/16
	RFA published in Texas Register	09/11/15	04/13/16
	CPRIT Application Receipt Cycle opened	01/21/16	04/07/16
	CPRIT Application Receipt Cycle closed	02/20/16	04/07/16
	Date application submitted	02/12/16	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	03/01/16	04/07/16
	Applicant notified of review panel assignment	N/A	04/07/16
	Primary Reviewer 1 COI signed	02/27/16	04/07/16
	Primary Reviewer 2 COI signed	02/24/16	04/07/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	03/23/16	04/07/16
	Primary Reviewer 2 critique submitted	03/21/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/24/16	04/07/16
	Post review statements signed	04/05/16	04/07/16
	Third Party Observer Report	03/31/16	04/08/16
	Score report delivered to CSO	04/08/16	04/08/16
4. Final SRC Recommendation	Recommended for SRC Review	YES	04/07/16
	COI indicated by SRC member	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	SRC Meeting	03/24/16	04/07/16
	Third Party Observer Report	03/31/16	04/08/16
	Recommended for grant award	YES	04/07/16
5. PIC Review	SRC Chair Notification to PIC and OC	03/24/16	04/13/16
	Applicant not employed by grantee prior to SRC date	YES	05/03/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
6. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160048
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Lydia Finley, 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* Request for Applications (RFA). CPRIT received four applications for this cycle 16.8 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

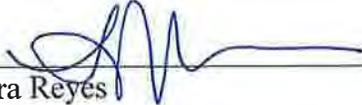
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2016
CYCLE 8
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160048
APPLICATION TITLE Nomination of Lydia W. Finley, Ph.D. for a First-Time, Tenure-Track Faculty Member Award
NOMINATOR NAME Fitz, John
CANDIDATE NAME Finley, Lydia
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY16 Cycle 8 (REC 16.8)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	04/13/16
	RFA published in Texas Register	09/11/15	04/13/16
	CPRIT Application Receipt Cycle opened	01/21/16	04/07/16
	CPRIT Application Receipt Cycle closed	02/20/16	04/07/16
	Date application submitted	02/16/16	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	03/01/16	04/07/16
	Applicant notified of review panel assignment	N/A	04/07/16
	Primary Reviewer 1 COI signed	02/25/16	04/07/16
3. Peer Review Meeting	Primary Reviewer 2 COI signed	02/24/16	04/07/16
	Primary Reviewer 1 critique submitted	03/04/16	04/07/16
	Primary Reviewer 2 critique submitted	03/21/16	04/07/16
	COI indicated by non-primary reviewer	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/24/16	04/07/16
	Post review statements signed	04/05/16	04/07/16
	Third Party Observer Report	03/31/16	04/08/16
4. Final SRC Recommendation	Score report delivered to CSO	04/08/16	04/08/16
	Recommended for SRC Review	YES	04/07/16
	COI indicated by SRC member	NONE	04/07/16
	COI recused from participation	N/A	04/07/16
	SRC Meeting	03/24/16	04/07/16
	Third Party Observer Report	03/31/16	04/08/16
5. PIC Review	Recommended for grant award	YES	04/07/16
	SRC Chair Notification to PIC and OC	03/24/16	04/13/16
	Applicant not employed by grantee prior to SRC date	YES	05/03/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
6. Oversight Committee Approval	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160053
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Mark Pellegrino

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received four applications for this cycle 16.8 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.

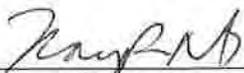
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2016
CYCLE 8
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160053
APPLICATION TITLE Recruitment of Dr. Mark Pellegrino
NOMINATOR NAME Weidanz, Jon
CANDIDATE NAME Pellegrino, Mark
ORGANIZATION The University of Texas at Arlington
PANEL NAME Recruitment FY16 Cycle 8 (REC 16.8)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	04/13/16
	RFA published in Texas Register	09/11/15	04/13/16
	CPRIT Application Receipt Cycle opened	01/21/16	04/07/16
	CPRIT Application Receipt Cycle closed	02/20/16	04/07/16
	Date application submitted	02/19/16	04/07/16
	Method of submission	CARS	04/07/16
	Within receipt period	YES	04/07/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/07/16
	Donation(s) made to CPRIT/foundation	NO	04/07/16
	Assigned to primary reviewers	03/01/16	04/07/16
	Applicant notified of review panel assignment	N/A	04/07/16
	Primary Reviewer 1 COI signed	02/26/16	04/07/16
3. Peer Review Meeting	Primary Reviewer 2 COI signed	02/28/16	04/07/16
	Primary Reviewer 1 critique submitted	03/23/16	04/07/16
	Primary Reviewer 2 critique submitted	03/22/16	04/07/16
	COI indicated by non-primary reviewer	O'Reilly, Richard	04/07/16
	COI recused from participation	YES	04/07/16
	Discussed at Peer Review Meeting	YES	04/07/16
	Peer Review Meeting	03/24/16	04/07/16
	Post review statements signed	04/05/16	04/07/16
	Third Party Observer Report	03/31/16	04/08/16
	Score report delivered to CSO	04/08/16	04/08/16
4. Final SRC Recommendation	Recommended for SRC Review	YES	04/07/16
	COI indicated by SRC member	O'Reilly, Richard	04/07/16
	COI recused from participation	YES	04/07/16
	SRC Meeting	03/24/16	04/07/16
	Third Party Observer Report	03/31/16	04/08/16
5. PIC Review	Recommended for grant award	YES	04/07/16
	SRC Chair Notification to PIC and OC	03/24/16	04/13/16
	Applicant not employed by grantee prior to SRC date	YES	05/03/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
6. Oversight Committee Approval	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
Award approved by Oversight Committee	YES/NO		
Authority to advance funds requested	YES/NO		
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160055
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Charles Kaufman

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received seven applications for this cycle 16.9 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.

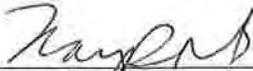
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2016
CYCLE 9
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160055
APPLICATION TITLE Nomination of Charles Kaufman, M.D., Ph.D. for a CPRIT First-Time Tenure-Track Faculty Award
NOMINATOR NAME Fitz, John
CANDIDATE NAME Kaufman, Charles
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY16 Cycle 9 (REC 16.9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	04/26/16
	RFA published in Texas Register	09/11/15	04/26/16
	CPRIT Application Receipt Cycle opened	02/21/16	04/26/16
	CPRIT Application Receipt Cycle closed	03/20/16	04/26/16
	Date application submitted	03/18/16	04/26/16
	Method of submission	CARS	04/26/16
	Within receipt period	YES	04/26/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/26/16
	Donation(s) made to CPRIT/foundation	NO	04/26/16
	Assigned to primary reviewers	03/29/16	04/26/16
	Applicant notified of review panel assignment	N/A	04/26/16
	Primary Reviewer 1 COI signed	03/25/16	04/26/16
	Primary Reviewer 2 COI signed	03/27/16	04/26/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	04/12/16	04/26/16
	Primary Reviewer 2 critique submitted	04/12/16	04/26/16
	COI indicated by non-primary reviewer	NONE	04/26/16
	COI recused from participation	N/A	04/26/16
	Discussed at Peer Review Meeting	YES	04/26/16
	Peer Review Meeting	04/14/16	04/26/16
	Post review statements signed	04/18/16	04/26/16
	Third Party Observer Report	04/20/16	04/26/16
	Score report delivered to CSO	04/18/16	04/26/16
4. Final SRC Recommendation	Recommended for SRC Review	YES	04/26/16
	COI indicated by SRC member	NONE	04/26/16
	COI recused from participation	N/A	04/26/16
	SRC Meeting	04/14/16	04/26/16
	Third Party Observer Report	04/20/16	04/26/16
	Recommended for grant award	YES	04/26/16
5. PIC Review	SRC Chair Notification to PIC and OC	04/18/16	04/26/16
	Applicant not employed by grantee prior to SRC date	YES	05/03/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
6. Oversight Committee Approval	Recommended for grant award	YES	05/03/16
	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160057
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Reto Fiolka, 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* Request for Applications (RFA). CPRIT received seven applications for this cycle 16.9 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

I note that Dr. Fiolka is a fellow at the nominating institution, UT Southwestern. However, after consultation with the Chief Scientific Officer and because this is not a tenure-track position, CPRIT is satisfied that the position as a fellow should not prevent this award application from moving forward.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 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."



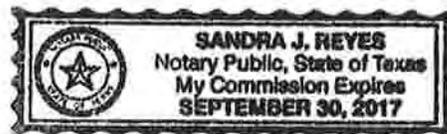
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2016
CYCLE 9
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160057
APPLICATION TITLE Nomination of Reto Fiolka, Ph.D. for a First-Time, Tenure-Track CPRIT Faculty Award
NOMINATOR NAME Fitz, John
CANDIDATE NAME Fiolka, Reto
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME Recruitment FY16 Cycle 9 (REC 16.9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA Approved by CSO	09/18/15	04/26/16
	RFA published in Texas Register	09/11/15	04/26/16
	CPRIT Application Receipt Cycle opened	02/21/16	04/26/16
	CPRIT Application Receipt Cycle closed	03/20/16	04/26/16
	Date application submitted	03/14/16	04/26/16
	Method of submission	CARS	04/26/16
	Within receipt period	YES	04/26/16
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	04/26/16
	Donation(s) made to CPRIT/foundation	NO	04/26/16
	Assigned to primary reviewers	03/29/16	04/26/16
	Applicant notified of review panel assignment	N/A	04/26/16
	Primary Reviewer 1 COI signed	03/29/16	04/26/16
	Primary Reviewer 2 COI signed	03/27/16	04/26/16
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	04/14/16	04/26/16
	Primary Reviewer 2 critique submitted	04/12/16	04/26/16
	COI indicated by non-primary reviewer	NONE	04/26/16
	COI recused from participation	N/A	04/26/16
	Discussed at Peer Review Meeting	YES	04/26/16
	Peer Review Meeting	04/14/16	04/26/16
	Post review statements signed	04/18/16	04/26/16
	Third Party Observer Report	04/20/16	04/26/16
	Score report delivered to CSO	04/18/16	04/26/16
Recommended for SRC Review	YES	04/26/16	
4. Final SRC Recommendation	COI indicated by SRC member	NONE	04/26/16
	COI recused from participation	N/A	04/26/16
	SRC Meeting	04/14/16	04/26/16
	Third Party Observer Report	04/20/16	04/26/16
	Recommended for grant award	YES	04/26/16
SRC Chair Notification to PIC and OC	04/18/16	04/26/16	
5. PIC Review	Applicant not employed by grantee prior to SRC date	NO*	05/03/16
	COI indicated by PIC member	NONE	05/03/16
	COI recused from participation	N/A	05/03/16
	PIC review meeting	05/03/16	05/03/16
	Recommended for grant award	YES	05/03/16
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	05/18/16	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

* Dr. Fiolka is a fellow at the nominating institution. However, after consultation with the Chief Scientific Officer and because this is not a tenure track position, CPRIT is satisfied that the position as a fellow should not prevent this award application from moving forward.

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160062
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Myron Ignatius

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received seven applications for this cycle 16.9 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.

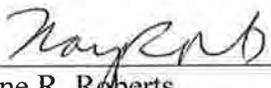
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and 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 Dr. John Hellerstedt, Department of State Health Services Commissioner, has a conflict of interest waiver on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

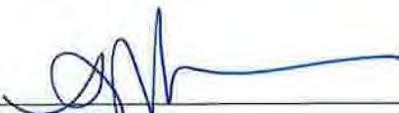
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 5th day of May, 2016,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2016
CYCLE 9
PROGRAM Research
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR160062
APPLICATION TITLE Dr. Myron Ignatius- First-Time Tenure-Track Faculty Award
NOMINATOR NAME Gonzalez-Scarano, Francisco
CANDIDATE NAME Ignatius, Myron
ORGANIZATION The University of Texas Health Science Center at San Antonio
PANEL NAME Recruitment FY16 Cycle 9 (REC 16.9)

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	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

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