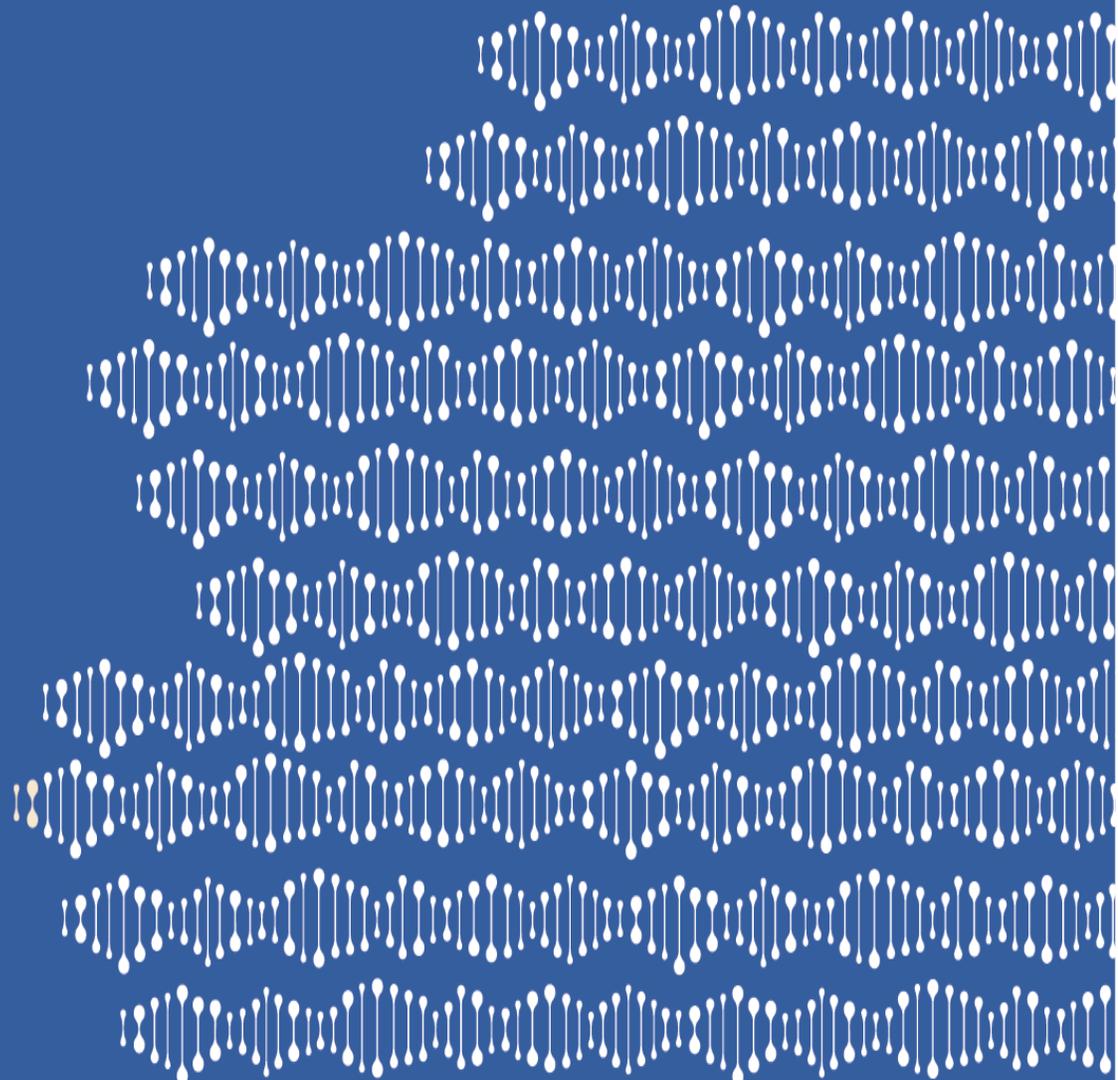




CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# Proposed Grant Awards

August 19, 2015



*Confidential until the awards are announced at the August 19, 2015  
Oversight Committee Meeting.*





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

July 30, 2015

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 8 grant applications totaling \$25,000,000. The PIC recommendations for 8 academic research recruitment awards are attached. Dr. Kripke has prepared overviews of the academic research program slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary of the recommended proposals with enough detail that you should be able to understand the substance of the proposal and the reasons endorsing grant funding. All of the information reviewed by the Review Council is available by clicking on the appropriate link in the portal. This information includes the full application, peer reviewer critiques, budget/scope change recommendations (if applicable) and the CEO affidavit for each proposal.

*There is a possibility of insufficient funds by the time the Oversight Committee votes on awards to support all eight of the PIC's recommendations. If that is the case, the PIC voted unanimously to recommend two options to Oversight Committee members. Option 1 is to disapprove RR150089 and reduce the budget of RR150076 by \$1 million. Option 2 is to reduce all Recruitment of Established Investigators by \$500,000 each, reduce RR150076 by \$1 million, and reduce all Recruitment of First-Time Tenure-Track Faculty Members by \$200,000 each.*

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

The award recommendations will not be considered final until the Oversight Committee meeting on Wednesday, August 19, 2015. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

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

Sincerely,  
Wayne R. Roberts  
Chief Executive Officer

**Academic Research Award Recommendations –**

The PIC unanimously recommends approval of 8 academic research recruitment grant proposals totaling \$25,000,000. The recommended grant proposals were submitted in response to one of two grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty; and Recruitment of Established Investigators. The PIC followed the recommendations made by the Scientific Review Council (SRC). The SRC met twice to consider two cycles of applications and provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on May 15 and June 12, 2015.

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 (the PIC chose this factor for Multi-Investigator Research Awards and High-Impact, High-Risk Research Awards);
- have a demonstrable economic development benefit to this state;
- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources; and
- address the goals of the Texas Cancer Plan.

Rank	App ID	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score
1	RR150071	RFT	The University of Texas Southwestern Medical Center	Dr. Thales Papagiannakopoulos	\$2,000,000	1.0
2	RR150075	RFT	The University of Texas Southwestern Medical Center	Dr. Daniel A. Bachovchin	\$2,000,000	1.0
3	RR150074	RFT	The University of Texas Southwestern Medical Center	Dr. Jan Erzberger	\$2,000,000	2.0
4	RR150076	RFT	The University of Texas Southwestern Medical Center	Dr. Kendra King Frederick	\$3,000,000	2.3

---

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
5	RR150072	REI	The University of Texas Southwestern Medical	Dr. Yang-Xin Fu	\$6,000,000	2.5

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

REI = Recruitment of Established Investigators

RR150071 and RR150075 were withdrawn by the applicants after the SRC meeting but before the PIC meeting.

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
1	RR150082	RFT	The University of Texas M. D. Anderson Cancer Center	Dr. Sidi Chen	\$2,000,000	1.5
2	RR150093	RFT	Baylor College of Medicine	Dr. Charles Y. Lin	\$2,000,000	1.8
3	RR150085	RFT	The University of Texas Health Science Center at Houston	Dr. Leng Han	\$2,000,000	2.0
4	RR150088	REI	University of Houston	Dr. Frank McKeon	\$6,000,000	2.0
5	RR150089	RFT	The University of Texas Southwestern Medical Center	Dr. Peter M. Douglas	\$2,000,000	2.5

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

REI = Recruitment of Established Investigators

RR150082 was withdrawn by the applicant after the PIC meeting.





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

---

---

**MEMORANDUM**

---

---

**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** VINCE BURGESS, CHIEF COMPLIANCE OFFICER  
**SUBJECT:** COMPLIANCE CERTIFICATION – AUGUST 2015 AWARDS  
**DATE:** JULY 31, 2015

---

---

**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 Awards
- Recruitment of Established Investigators Awards

I have conferred with staff at CPRIT and SRA International (SRA), CPRIT’s contracted third-party grant administrator, 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 followed applicable laws and agency administrative rules. I certify these Academic Research award recommendations for the Oversight Committee’s consideration.

**Background:**

CPRIT’s Chief Compliance Officer must report to the Oversight Committee regarding compliance with the agency’s statute and administrative rules. The Chief Compliance Officer’s responsibilities include 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 to formally document compliance for the grant awards. The compliance pedigree tracks a grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by SRA employees and CPRIT employees. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT’s Application Receipt

System (CARS), the grant application database managed by SRA. This is done to minimize the opportunity for error caused by manual data entry.

### **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 on a compliance pedigree in pre-receipt stage cover the period beginning with CPRIT’s issuance of the Request for Application (RFA) through the submission of grant applications. CPRIT’s administrative rules require that RFAs be publicly posted in the *Texas Register*. The RFA specifies a deadline and mandates that only those applications submitted electronically through CPRIT’s Application Receipt System (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 application submission. When this occurs, the applicant may appeal to CPRIT (through the CPRIT Helpdesk that is managed by SRA) to allow for a submission after the deadline. The program officer considers any appeals and may approve a late filing for good cause. When a late filing request is approved, the appellee is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

*Twelve applications were received in response to the Recruitment of First-Time, Tenure Track Faculty Members RFA. However, one application withdrew before the Scientific Review Council (SCR) and two applications withdrew after the Scientific Review Council, but before the PIC. Four applications were received in response to the Recruitment of Established Investigators RFA and three applications were received in response to the Recruitment of Rising Stars RFA. I reviewed the application pedigrees for each of the 19 research grant applicants that underwent peer review. All of the Academic Research*

*RFA's were posted in the Texas Register. All of the applicants registered through CARS and submitted applications by the deadline. No applicants requested an extension.*

### **Receipt, Referral, and Assignment Compliance:**

Once applications have been submitted through CARS, SRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, SRA notifies the program officer and the program officer makes the final decision to administratively withdraw the application. The peer review panel chair assigns applications to peer review primary reviewers. 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 panel is delivered to the Review Council for additional review. Following the peer review meetings, each participating peer reviewer must sign a post-review peer review statement certifying that the reviewer knew of and understood CPRIT's conflict of interest policy and followed the policy for this review process.

*For the Recruitment Awards, the applications are only reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the peer reviewer critiques and supporting documentation, such as the sign-out sheets and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. Two conflicts of interest were declared for the recruitment applications reviewed by the SRC. Reviewers with conflicts of interest did not participate in review of those applications, as documented by SRA.*

*I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members as well as the five SRC members that attended the SRC meetings on May 14, 2015 and June 11, 2015.*

### **Programmatic Review:**

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

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

**Program Integration Committee 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 July 30, 2015, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 8 applications and voted to recommend all 8 applications to the Oversight Committee. The PIC also provided two potential funding options for Oversight Committee members to consider if, at the time of the August meeting, there are insufficient funds for all 8 recommended awards.*



---

## CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

---

---

### MEMORANDUM

---

**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** MARGARET KRIPKE, PH.D.  
**SUBJECT:** FY15 RECRUITMENT AWARDS, CYCLE 8  
**DATE:** JULY 29, 2015

---

The applications recommended for funding by the CPRIT Scientific Review Council (SRC) have been reviewed and approved by the Program Integration Committee (PIC). Applications were submitted in response to Recruitment of Established Investigator (REI), Recruitment for First-Time, Tenure Track Faculty Members (RFT), and Recruitment of Rising Stars (RRS) Request for Applications. Nine applications were received in total (Recruitment of Established Investigator (REI) - 2, Recruitment for First-Time, Tenure Track Faculty Members (RFT) - 7, and Recruitment of Rising Stars (RRS) - 0). One RFT application was withdrawn prior to the assignments for review and the other 8 applications were reviewed. Five applications were recommended for funding by the SRC. Two additional RFT applications have been withdrawn prior to the PIC and the Oversight Committee meetings. Two applications for Recruitment of First-Time, Tenure-Track Faculty Members and one for Recruitment of Established Investigators have been recommended for a combined amount of \$11,000,000.

#### **Recruitment of Established Investigators (RFA R-15-REI)**

Applications Reviewed:	2
Applications Recommended:	1
Total Funding Request:	\$6,000,000

The aim of this RFA is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas. Award: Up to \$6M over a period of five years.

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

Questions that were considered by reviewers include: Has the candidate made significant, transformative, and sustained contributions to basic, translational, clinical or population-based cancer research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate

provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

Established Investigator candidate recommended by the Scientific Review Council is:

**Yang-Xin Fu, M.D., Ph.D.**, is being recruited to The University of Texas Southwestern Medical Center from the Department of Pathology & Committee on Immunology & Cancer Center at the University of Chicago. Dr. Fu is a well-recognized and highly-respected visionary leader in the fields of immunotherapy and tumor immunology. He has been successful in extending insights from basic immunology to develop new strategies that reduce primary tumor burden, either as stand-alone therapies, or in combination with conventional chemotherapy and radiotherapy. Works being pioneered by Dr. Fu have enormous potential to revolutionize cancer medicine.

### **Recruitment of First-Time, Tenure-Track Faculty Members (RFA R-15-RFT)**

Applications Reviewed:	6
Applications Recommended:	2
Total Funding Request:	\$5,000,000

The aim of this RFA 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. Award: Up to \$2 million over a period of 4 years unless a request for additional funding is extremely well justified. One institution requested an extra \$1M for a recommended candidate to help cover the cost of equipment.

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

Questions that were considered by reviewers include: 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 of independence?

Two candidates are being recommended for First-time Faculty Awards, both to The University of Texas Southwestern Medical Center. Below is a listing of these candidates with their associated expertise. All have outstanding training and records of achievement and a strong commitment to cancer research.

- **Jan Erzberger, Ph.D.**, (UTSW) - Protein purification, biochemistry, crystallography, electron microscopy, ribosome biology, integrative modeling
- **Kendra King Frederick, Ph.D.** (UTSW) - Structural biology, NMR spectroscopy, dynamic nuclear polarization, genetics, thermodynamics, kinetics



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

---

---

MEMORANDUM

---

**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** MARGARET KRIPKE, PH.D.  
**SUBJECT:** FY15 RECRUITMENT AWARDS, CYCLE 9  
**DATE:** JULY 29, 2015

---

The applications recommended for funding by the CPRIT Scientific Review Council (SRC) have been reviewed and approved by the Program Integration Committee (PIC). Applications were submitted in response to Recruitment of Established Investigator (REI), Recruitment for First-Time, Tenure Track Faculty Members (RFT), and Recruitment of Rising Stars (RRS) Request for Applications. Ten applications were received in total (Recruitment of Established Investigator (REI) - 2, Recruitment for First-Time, Tenure Track Faculty Members (RFT) - 5, and Recruitment of Rising Stars (RRS) - 3). All ten applications were reviewed. Five applications were recommended for funding by the SRC. Four applications for Recruitment of First-Time, Tenure-Track Faculty Members and one for Recruitment of Established Investigators have been recommended for a combined amount of \$14,000,000.

**Recruitment of Established Investigators (RFA R-15-REI)**

Applications Reviewed: 2  
Applications Recommended: 1  
Total Funding Request: \$6,000,000

The aim of this RFA is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas. Award: Up to \$6M over a period of five years.

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

Questions that were considered by reviewers include: Has the candidate made significant, transformative, and sustained contributions to basic, translational, clinical or population-based cancer research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a

publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

Established Investigator candidate recommended by the Scientific Review Council is:

**Frank McKeon, Ph.D.**, is being recruited to The University of Houston from the Department of Stem Cell and Developmental Biology at the Genome Institute of Singapore. Dr. McKeon has made important contributions to cell cycle control; mechanisms of T cell activation; and in what was a formative discovery for all of his present work, the cloning of the p53 homolog p63. He demonstrated p63 as a “master regulator” of self-renewal for stratified epithelia including the prostate. His FDA approved p63 monoclonal antibodies are used world-wide in the diagnosis of prostate and related cancers. His recent discoveries include demonstration of key elements of lung regeneration, identity of involved stem cells and efficacy of autologous transplantation of lung stem cells. His seminal work on Barrett’s esophagus established a new paradigm for the origins and preemptive strategies for this and other gastric pre-cancerous lesions. Finally, the technology he developed with an associate for cloning adult columnar epithelial stem cells has broad implications for applications of adult stem cells in regenerative medicine and in the treatment of precancerous and cancerous lesions. By joining the faculty of the Department of Biology and Biochemistry; his contributions will crystallize programs in preventive medicine through advances in biomedical engineering, cell biology, and drug discovery.

**Recruitment of First-Time, Tenure-Track Faculty Members (RFA R-15-RFT)**

Applications Reviewed:	5
Applications Recommended:	4
Total Funding Request:	\$8,000,000

The aim of this RFA 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. Award: Up to \$2 million over a period of 4 years.

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

Questions that were considered by reviewers include: 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 of independence?

Four First-Time, Tenure-Track Faculty Award candidates are being recommended for recruitment: 1 to Baylor College of Medicine, 1 to The University of Texas M.D. Anderson Cancer Center, 1 to The University of Texas Southwestern Medical Center, and 1 to The University of Texas Health Science Center at Houston. Below is a listing of these candidates with their associated expertise. All have outstanding training and records of achievement and a strong commitment to cancer research.

- **Charles Lin, Ph.D.**, (BCM) - Computational Biology Transcription Chromatin Gene; Regulatory networks Chemical and genetic perturbation; Chemical biology Drug discovery
- **Sidi Chen, Ph.D.**, (UTMDA) - Computational genomics and evolutionary genetics. Cancer systems biology, in particular, in vivo CRISPR/Cas0-mediated cancer modeling and genetic screening.
- **Peter Douglas, Ph.D.** (UTSW) - Molecular biology, cell signaling, biochemistry, cancer biology
- **Leng Han, Ph.D.** (UTHSC-H) - Cancer Genomics; Computational Biology; noncoding RNA



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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of Established Investigators (REI)  
**APPLICATION ID** RR150072  
**APPLICATION TITLE** Nomination of Dr. Yang-Xin Fu for a CPRIT Established Investigator Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 8 (RRP-8)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	03/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	04/20/15	07/09/15
	Date application submitted	04/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	04/30/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	04/24/15	07/09/15
	Primary Reviewer 2 COI signed	04/24/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	05/13/15	07/09/15
	Primary Reviewer 2 critique submitted	05/05/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	05/14/15	07/09/15
	Post review statements signed	05/20/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Score report delivered to CSO	05/22/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	05/14/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	05/18/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	N/A	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of Established Investigators (REI)  
**APPLICATION ID** RR150088  
**APPLICATION TITLE** Recruitment of Established Investigator - Dr. Frank McKeon  
**NOMINATOR NAME** Wells, Dan  
**ORGANIZATION** University of Houston  
**PANEL NAME** 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/19/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	05/29/15	07/09/15
	Primary Reviewer 2 COI signed	06/01/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/09/15	07/09/15
	Primary Reviewer 2 critique submitted	06/09/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
Recommended for SRC Review	YES	07/09/15	
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	N/A	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150074  
**APPLICATION TITLE** Nomination of Jan Erzberger, Ph.D. for a CPRIT First-Time Tenure-Track Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 8 (RRP-8)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	03/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	04/20/15	07/09/15
	Date application submitted	04/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	04/30/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	04/28/15	07/09/15
	Primary Reviewer 2 COI signed	04/24/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	05/13/15	07/09/15
	Primary Reviewer 2 critique submitted	05/07/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	05/14/15	07/09/15
	Post review statements signed	05/20/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Score report delivered to CSO	05/22/15	07/09/15
Recommended for SRC Review	YES	07/09/15	
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	05/14/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	05/18/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150076  
**APPLICATION TITLE** Nomination of Kendra King Frederick, Ph.D. for a CPRIT First-Time Tenure-Track Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 8 (RRP-8)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	03/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	04/20/15	07/09/15
	Date application submitted	04/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	04/30/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	04/28/15	07/09/15
	Primary Reviewer 2 COI signed	04/24/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	05/14/15	07/09/15
	Primary Reviewer 2 critique submitted	05/13/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	05/14/15	07/09/15
	Post review statements signed	05/20/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Score report delivered to CSO	05/22/15	07/09/15
Recommended for SRC Review	YES	07/09/15	
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	05/14/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	05/18/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

FY 2015  
 CYCLE 2  
 PROGRAM Research - Recruitment  
 AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)  
 APPLICATION ID RR150085  
 APPLICATION TITLE Recruitment of First-Time, Tenure-Track Faculty Members - Dr. Leng Han  
 NOMINATOR NAME Stancel, George  
 ORGANIZATION The University of Texas Health Science Center at Houston  
 PANEL NAME 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	05/30/15	07/09/15
	Primary Reviewer 2 COI signed	06/01/15	07/09/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	06/07/15	07/09/15
	Primary Reviewer 2 critique submitted	06/11/15	07/09/15
	COI indicated by non-primary reviewer	Jones, Peter	07/09/15
	COI recused from participation	YES	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
4. Final SRC Recommendation	COI indicated by SRC member	Jones, Peter	07/09/15
	COI recused from participation	YES	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
5. PIC Review	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150089  
**APPLICATION TITLE** Recruitment of Peter M. Douglas, Ph.D. for a CPRIT First-Time Tenure-Track Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/19/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	06/01/15	07/09/15
	Primary Reviewer 2 COI signed	06/02/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/10/15	07/09/15
	Primary Reviewer 2 critique submitted	06/09/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150093  
**APPLICATION TITLE** First Time, Tenure Track Recruit: Charles Y. Lin, Ph.D.  
**NOMINATOR NAME** Kuspa, Adam  
**ORGANIZATION** Baylor College of Medicine  
**PANEL NAME** 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	06/01/15	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	05/29/15	07/09/15
	Primary Reviewer 2 COI signed	06/01/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/09/15	07/09/15
	Primary Reviewer 2 critique submitted	06/11/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
Recommended for SRC Review	YES	07/09/15	
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.



# CPRIT Scientific Review Council Observation Report

Report #2015-229

Panel Name: FY15.2 Recruitment Review Panel – 8

Panel Date: May 14, 2015

Report Date: May 21, 2015

---

## Background

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

## Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on May 14, 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 panelists' discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on May 14, 2015.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Five council members, two CPRIT staff members, and three SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting, but the individual was not present for the meeting and did not participate in the discussion of the 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 Council members' discussions were limited to the application evaluation criteria.

#### Disclaimer

The third-party observation did not include the following:

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

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

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

# CPRIT Scientific Review Council Observation Report

Report #2015-230

Panel Name: FY15.2 Recruitment Review Panel – 9

Panel Date: June 11, 2015

Report Date: June 12, 2015

---

## Background

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

## Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on June 11, 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 panelists' discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on June 11, 2015.

The independent observer noted the following during our observation:

- Ten applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Five council members, 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, but the individual was not present and did not participate in the discussion of the 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 Council members' discussions were limited to the application evaluation criteria.

#### Disclaimer

The third-party observation did not include the following:

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

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

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

San Diego

Ludwig Institute for  
Cancer Research Ltd

May 15, 2015

Richard D. Kolodner  
Ph.D.

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Senior Advisor on Academic  
Affairs  
New York Office

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

[rkolodner@ucsd.edu](mailto:rkolodner@ucsd.edu)

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

T 858 534 7804  
F 858 534 7750

**New York Office**  
28<sup>th</sup> Floor  
666 Third Avenue  
New York, NY 10017

T 212 450 1500  
F 212 450 1555

William Rice, M.D.  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [Bill.Rice@stdavids.com](mailto:Bill.Rice@stdavids.com)

Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprit.state.tx.us](mailto:wroberts@cprit.state.tx.us)

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, May 14, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$15,000,000.

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

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
1	RR150071	RFT	The University of Texas Southwestern Medical Center	Dr. Thales Papagiannakopoulos	\$2,000,000	1.0
2	RR150075	RFT	The University of Texas Southwestern Medical Center	Dr. Daniel A. Bachovchin	\$2,000,000	1.0
3	RR150074	RFT	The University of Texas Southwestern Medical Center	Dr. Jan Erzberger	\$2,000,000	2.0
4	RR150076	RFT	The University of Texas Southwestern Medical Center	Dr. Kendra King Frederick	\$3,000,000	2.3
5	RR150072	REI	The University of Texas Southwestern Medical Center	Dr. Yang-Xin Fu	\$6,000,000	2.5

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

REI = Recruitment of Established Investigators

San Diego

Ludwig Institute for  
Cancer Research Ltd

June 12, 2015

Richard D. Kolodner  
Ph.D.

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Senior Advisor on Academic  
Affairs  
New York Office

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

[rkolodner@ucsd.edu](mailto:rkolodner@ucsd.edu)

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

T 858 534 7804  
F 858 534 7750

**New York Office**  
28<sup>th</sup> Floor  
666 Third Avenue  
New York, NY 10017

T 212 450 1500  
F 212 450 1555

William Rice, M.D.  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [Bill.Rice@stdavids.com](mailto:Bill.Rice@stdavids.com)

Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cpr.it.state.tx.us](mailto:wroberts@cpr.it.state.tx.us)

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, June 11, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$14,000,000.

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

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
1	RR150082	RFT	The University of Texas M. D. Anderson Cancer Center	Dr. Sidi Chen	\$2,000,000	1.5
2	RR150093	RFT	Baylor College of Medicine	Dr. Charles Y. Lin	\$2,000,000	1.8
3	RR150085	RFT	The University of Texas Health Science Center at Houston	Dr. Leng Han	\$2,000,000	2.0
4	RR150088	REI	University of Houston	Dr. Frank McKeon	\$6,000,000	2.0
5	RR150089	RFT	The University of Texas Southwestern Medical Center	Dr. Peter M. Douglas	\$2,000,000	2.5

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

REI = Recruitment of Established Investigators



**Conflicts of Interest for Academic Research Cycle 15.2 Recruitment Applications  
(Academic Research Cycle 15.2 Recruitment Awards Announced at August 19, 2015,  
Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. In this cycle of recruitment awards, to be announced at the August 19, 2015, Oversight Committee meeting, an SRA employee also noted a conflict of interest. SRA is CPRIT's third-party grant administrator as well as administrator of peer review meetings.

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

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
<b>RR150085</b>	Stancel, George	The University of Texas Health Science Center at Houston	Katia Garcia-Crespo (SRA); Mitchell, Amy
<b>RR150072</b>	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
<b>RR150074</b>	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
<b>RR150076</b>	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
<b>RR150082</b>	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
<b>RR150088</b>	Wells, Dan	University of Houston	Mitchell, Amy
<b>RR150089</b>	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
<b>RR150093</b>	Kuspa, Adam	Baylor College of Medicine	Mitchell, Amy
<b>Applications not considered by the PIC or Oversight Committee</b>			
<b>RR150070</b>	Martin, Stephen	The University of Texas at Austin	Gambhir, Sanjiv Sam



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2015—Cycle 2**  
*Recruitment of Established Investigators*

# Request for Applications

---



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **REQUEST FOR APPLICATIONS**

## **RFA R-15-REI-2**

### **Recruitment of Established Investigators**

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

**Application Receipt Dates:**

September 2, 2014-August 31, 2015

**Fiscal Year Award Period**

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

## TABLE OF CONTENTS

<b>1. ABOUT CPRIT</b>	<b>4</b>
<b>2. RATIONALE</b>	<b>4</b>
<b>3. RECRUITMENT OBJECTIVES</b>	<b>4</b>
<b>4. FUNDING INFORMATION</b>	<b>6</b>
<b>5. ELIGIBILITY</b>	<b>6</b>
<b>6. RESUBMISSION POLICY</b>	<b>8</b>
<b>7. RESPONDING TO THIS RFA</b>	<b>8</b>
7.1. APPLICATION SUBMISSION GUIDELINES	8
7.2. APPLICATION COMPONENTS	9
7.2.1. <i>Summary of Nomination (2,000 characters)</i>	9
7.2.2. <i>Institutional Commitment (2 pages)</i>	9
7.2.3. <i>Letter of Support from Department Chair (1 page)</i>	10
7.2.4. <i>Curriculum Vitae (CV)</i>	10
7.2.5. <i>Summary of Goals and Objectives</i>	10
7.2.6. <i>Research (4 pages)</i>	11
7.2.7. <i>Publications</i>	11
7.2.8. <i>Timeline (1 page)</i>	11
7.2.9. <i>Current and Pending Support</i>	11
7.2.10. <i>Research Environment (1 page)</i>	12
7.2.11. <i>Descriptive Biography (Up to 2 pages)</i>	12
<b>8. APPLICATION REVIEW</b>	<b>12</b>
8.1. REVIEW PROCESS	12
8.2. CONFIDENTIALITY OF REVIEW	13
8.3. REVIEW CRITERIA	13
<b>9. KEY DATES</b>	<b>15</b>
<b>10. AWARD ADMINISTRATION</b>	<b>15</b>
<b>11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS</b>	<b>16</b>
<b>12. CONTACT INFORMATION</b>	<b>16</b>
12.1. HELPDESK	16
12.2. SCIENTIFIC AND PROGRAMMATIC QUESTIONS	17

## **RFA VERSION HISTORY**

Rev 9/2/14 RFA release

## **1. ABOUT CPRIT**

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

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

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

## **2. RATIONALE**

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract world-class research scientists with distinguished professional careers to Texas universities and cancer research institutes to establish research programs that add research talent to the state. This award will support established academic leaders whose body of work has made an outstanding contribution to cancer research. Awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer.

Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment.

## **3. RECRUITMENT OBJECTIVES**

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. This award honors outstanding senior investigators

with proven track records of research accomplishments combined with excellence in leadership and teaching. All candidates should be recognized research or clinical investigators, held in the highest esteem by professional colleagues nationally and internationally, whose contributions have had a significant influence on their discipline and, likely, beyond. They must have clearly established themselves as exemplary faculty members with exceptional accomplishments in teaching and advising and/or basic, translational, population-based, or clinical cancer research activities. It is expected that the candidate will contribute significantly to and have a major impact on the institution's overall cancer research initiative. Candidates will be leaders capable of initiating and developing creative ideas leading to novel solutions related to cancer detection, diagnosis, and/or treatment. They are also expected to maintain and lead a strong research group and have a stellar, high-impact publication portfolio, as well as continue to secure external funding. Furthermore, recipients will lead and inspire undergraduate and graduate students interested in pursuing research careers and will engage in collegial and collaborative relationships with others within and beyond their traditional discipline in an effort to expand the boundaries of cancer research.

Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework. Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates should be at the career level of a full professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience as vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution.

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

#### 4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. **Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support and endowment for the individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

#### 5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.

- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.
- Candidates who have already accepted a position at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary. Such individuals may, however, apply for other CPRIT grant awards, as appropriate.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. 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](http://www.cprit.state.tx.us).

## 6. RESUBMISSION POLICY

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

## 7. RESPONDING TO THIS RFA

### 7.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted.

Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the

individual who will manage the grant contract if an award is made, also must create a user account in CARS.

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

## **7.2. Application Components**

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

### **7.2.1. Summary of Nomination (2,000 characters)**

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

### **7.2.2. Institutional Commitment (2 pages)**

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

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the

institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

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

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

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

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

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

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

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

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

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

### **7.2.4. Curriculum Vitae (CV)**

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

### **7.2.5. Summary of Goals and Objectives**

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

### **7.2.6. Research (4 pages)**

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

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

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

### **7.2.7. Publications**

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

### **7.2.8. Timeline (1 page)**

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

### **7.2.9. Current and Pending Support**

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

### 7.2.10. Research Environment (1 page)

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

### 7.2.11. Descriptive Biography (Up to 2 pages)

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

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

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

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

## 8. APPLICATION REVIEW

### 8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA, but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will 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.

## **8.2. 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.

## **8.3. Review Criteria**

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is

the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

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

Questions to be considered by the reviewers are as follows:

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

**Scientific Merit of Proposed Research:** Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques? Does the research program integrate with and/or increase collaborative research efforts and relationships at the nominating institution?

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

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

## 9. KEY DATES

### RFA

RFA Release

September 2, 2014

### Application Receipt and Review Timeline

<b>Application Receipt System opens, 7 AM CT</b>	<b>Application Receipt</b>	<b>Anticipated Application Review</b>
September 2, 2014	Continuous	Monthly by the 15 <sup>th</sup> day of the month

## 10. AWARD ADMINISTRATION

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

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at [www.cprit.state.tx.us](http://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 the award contract. Forms and instructions will be made available at [www.cprit.state.tx.us](http://www.cprit.state.tx.us).

## **11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS**

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

## **12. CONTACT INFORMATION**

### **12.1. HelpDesk**

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

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

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

**Tel:** 866-941-7146

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

## **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](mailto:Help@CPRITGrants.org)

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

# **Third Party Observer Report**

---

# CPRIT Scientific Review Council Observation Report

Report #2015-229

Panel Name: FY15.2 Recruitment Review Panel – 8

Panel Date: May 14, 2015

Report Date: May 21, 2015

---

## Background

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

## Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on May 14, 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 panelists' discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on May 14, 2015.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Five council members, two CPRIT staff members, and three SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting, but the individual was not present for the meeting and did not participate in the discussion of the 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 Council members' discussions were limited to the application evaluation criteria.

#### Disclaimer

The third-party observation did not include the following:

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

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

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

# CPRIT Scientific Review Council Observation Report

Report #2015-230

Panel Name: FY15.2 Recruitment Review Panel – 9

Panel Date: June 11, 2015

Report Date: June 12, 2015

---

## Background

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

## Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on June 11, 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 panelists' discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on June 11, 2015.

The independent observer noted the following during our observation:

- Ten applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Five council members, 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, but the individual was not present and did not participate in the discussion of the 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 Council members' discussions were limited to the application evaluation criteria.

#### Disclaimer

The third-party observation did not include the following:

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

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

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

## **Noted Conflicts of Interest**

---

**Conflicts of Interest for Academic Research Cycle 15.2 Recruitment Applications  
(Academic Research Cycle 15.2 Recruitment Awards Announced at August 19, 2015,  
Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. In this cycle of recruitment awards, to be announced at the August 19, 2015, Oversight Committee meeting, an SRA employee also noted a conflict of interest. SRA is CPRIT's third-party grant administrator as well as administrator of peer review meetings.

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

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
<b>RR150085</b>	Stancel, George	The University of Texas Health Science Center at Houston	Katia Garcia-Crespo (SRA)
<b>Applications not considered by the PIC or Oversight Committee</b>			
<b>RR150070</b>	Martin, Stephen	The University of Texas at Austin	Gambhir, Sanjiv Sam

# **De-Identified Overall Evaluation Scores**

---

## Recruitment of Established Investigators

Academic Research Recruitment Cycle 15.2

Application ID	Final Overall Evaluation Score
RR150088*	2.0
RR150072*	2.5
d	3.0
e	3.0

\*=Recommended for funding

# **Final Overall Evaluation Scores and Rank Order Scores**

---

San Diego

**Ludwig Institute for  
Cancer Research Ltd**

May 15, 2015

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Senior Advisor on Academic  
Affairs  
New York Office

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

[rkolodner@ucsd.edu](mailto:rkolodner@ucsd.edu)

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

T 858 534 7804  
F 858 534 7750

**New York Office**  
28<sup>th</sup> Floor  
666 Third Avenue  
New York, NY 10017

T 212 450 1500  
F 212 450 1555

William Rice, M.D.  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [Bill.Rice@stdavids.com](mailto:Bill.Rice@stdavids.com)

Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cpriti.state.tx.us](mailto:wroberts@cpriti.state.tx.us)

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, May 14, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$15,000,000.

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

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
1	RR150071	RFT	The University of Texas Southwestern Medical Center	Dr. Thales Papagiannakopoulos	\$2,000,000	1.0
2	RR150075	RFT	The University of Texas Southwestern Medical Center	Dr. Daniel A. Bachovchin	\$2,000,000	1.0
3	RR150074	RFT	The University of Texas Southwestern Medical Center	Dr. Jan Erzberger	\$2,000,000	2.0
4	RR150076	RFT	The University of Texas Southwestern Medical Center	Dr. Kendra King Frederick	\$3,000,000	2.3
5	RR150072	REI	The University of Texas Southwestern Medical Center	Dr. Yang-Xin Fu	\$6,000,000	2.5

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

REI = Recruitment of Established Investigators

RR150071 and RR150075 were withdrawn by the applicants after the SRC meeting but before the PIC meeting.

Ludwig Institute for  
Cancer Research Ltd

June 12, 2015

Richard D. Kolodner  
Ph.D.

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Senior Advisor on Academic  
Affairs  
New York Office

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

rkolodner@ucsd.edu

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

T 858 534 7804  
F 858 534 7750

New York Office  
28<sup>th</sup> Floor  
666 Third Avenue  
New York, NY 10017

T 212 450 1500  
F 212 450 1555

William Rice, M.D.  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to Bill.Rice@stdavids.com

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, June 11, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$14,000,000.

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

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
1	RR150082	RFT	The University of Texas M. D. Anderson Cancer Center	Dr. Sidi Chen	\$2,000,000	1.5
2	RR150093	RFT	Baylor College of Medicine	Dr. Charles Y. Lin	\$2,000,000	1.8
3	RR150085	RFT	The University of Texas Health Science Center at Houston	Dr. Leng Han	\$2,000,000	2.0
4	RR150088	REI	University of Houston	Dr. Frank McKeon	\$6,000,000	2.0
5	RR150089	RFT	The University of Texas Southwestern Medical Center	Dr. Peter M. Douglas	\$2,000,000	2.5

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

REI = Recruitment of Established Investigators



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

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

# Request for Applications

---



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

## **REQUEST FOR APPLICATIONS**

### **RFA R-15-RFT-2**

## **Recruitment of First-Time Tenure-Track Faculty Members**

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

**Application Receipt Dates:**

September 2, 2014-Aug 31, 2015

**Fiscal Year Award Period**

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

## TABLE OF CONTENTS

<b>1. ABOUT CPRIT</b>	<b>4</b>
<b>2. RATIONALE</b>	<b>4</b>
<b>3. RECRUITMENT OBJECTIVES</b>	<b>5</b>
<b>4. FUNDING INFORMATION</b>	<b>5</b>
<b>5. ELIGIBILITY</b>	<b>6</b>
<b>6. RESUBMISSION POLICY</b>	<b>8</b>
<b>7. RESPONDING TO THIS RFA</b>	<b>8</b>
7.1. APPLICATION SUBMISSION GUIDELINES	8
7.2. APPLICATION COMPONENTS	9
7.2.1. <i>Summary of Nomination (2,000 characters)</i>	9
7.2.2. <i>Institutional Commitment (3 pages)</i>	9
7.2.3. <i>Letter of Support from Department Chair (1 page)</i>	10
7.2.4. <i>Curriculum Vitae (CV)</i>	10
7.2.5. <i>Summary of Goals and Objectives</i>	10
7.2.6. <i>Research (4 pages)</i>	11
7.2.7. <i>Publications</i>	11
7.2.8. <i>Timeline (1 page)</i>	11
7.2.9. <i>Current and Pending Support</i>	11
7.2.10. <i>Letters of Recommendation</i>	12
7.2.11. <i>Research Environment (1 page)</i>	12
7.2.12. <i>Descriptive Biography (Up to 2 pages)</i>	12
<b>8. APPLICATION REVIEW</b>	<b>12</b>
8.1. REVIEW PROCESS	12
8.1.1. <i>Confidentiality of Review</i>	13
8.2. REVIEW CRITERIA	14
<b>9. KEY DATES</b>	<b>15</b>
<b>10. AWARD ADMINISTRATION</b>	<b>15</b>
<b>11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS</b>	<b>16</b>
<b>12. CONTACT INFORMATION</b>	<b>16</b>
12.1. HELPDESK	16
12.2. SCIENTIFIC AND PROGRAMMATIC QUESTIONS	17

## **RFA VERSION HISTORY**

Rev 9/2/14 RFA release

## **1. ABOUT CPRIT**

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

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

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

## **2. RATIONALE**

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

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

### 3. RECRUITMENT OBJECTIVES

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

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

### 4. FUNDING INFORMATION

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

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

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

## 5. ELIGIBILITY

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

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

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

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

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

## 6. RESUBMISSION POLICY

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

## 7. RESPONDING TO THIS RFA

### 7.1. Application Submission Guidelines

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

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

## **7.2. Application Components**

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

### **7.2.1. Summary of Nomination (2,000 characters)**

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

### **7.2.2. Institutional Commitment (3 pages)**

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

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

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

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

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

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

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

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

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

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

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

### **7.2.4. Curriculum Vitae (CV)**

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

### **7.2.5. Summary of Goals and Objectives**

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

### 7.2.6. Research (4 pages)

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

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

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

### 7.2.7. Publications

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

### 7.2.8. Timeline (1 page)

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

### 7.2.9. Current and Pending Support

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

### **7.2.10. Letters of Recommendation**

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

### **7.2.11. Research Environment (1 page)**

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

### **7.2.12. Descriptive Biography (Up to 2 pages)**

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

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

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

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

## **8. APPLICATION REVIEW**

### **8.1. Review Process**

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

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

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

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

### **8.1.1. Confidentiality of Review**

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

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

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

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

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

## **8.2. Review Criteria**

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

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

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

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

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

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

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



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

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

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

## **11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS**

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

## **12. CONTACT INFORMATION**

### **12.1. HelpDesk**

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

**Dates of operation:** September 2, 2014 onward (excluding public holidays)  
**Hours of operation:** Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time  
Wednesday, 8 a.m. to 4 p.m. central time  
**Tel:** 866-941-7146  
**E-mail:** [Help@CPRITGrants.org](mailto: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](mailto:Help@CPRITGrants.org)  
**Website:** [www.cprit.state.tx.us](http://www.cprit.state.tx.us)

# **Third Party Observer Report**

---

# CPRIT Scientific Review Council Observation Report

Report #2015-229

Panel Name: FY15.2 Recruitment Review Panel – 8

Panel Date: May 14, 2015

Report Date: May 21, 2015

---

## Background

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

## Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on May 14, 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 panelists' discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on May 14, 2015.

The independent observer noted the following during our observation:

- Eight applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Five council members, two CPRIT staff members, and three SRA employees were present for the meeting.
- One conflict of interest was identified prior to or during the meeting, but the individual was not present for the meeting and did not participate in the discussion of the 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 Council members' discussions were limited to the application evaluation criteria.

#### Disclaimer

The third-party observation did not include the following:

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

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

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

# CPRIT Scientific Review Council Observation Report

Report #2015-230

Panel Name: FY15.2 Recruitment Review Panel – 9

Panel Date: June 11, 2015

Report Date: June 12, 2015

---

## Background

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

## Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on June 11, 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 panelists' discussion is focused on the established scoring criteria.

## Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on June 11, 2015.

The independent observer noted the following during our observation:

- Ten applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Five council members, 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, but the individual was not present and did not participate in the discussion of the 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 Council members' discussions were limited to the application evaluation criteria.

#### Disclaimer

The third-party observation did not include the following:

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

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

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

## **Noted Conflicts of Interest**

---

**Conflicts of Interest for Academic Research Cycle 15.2 Recruitment Applications  
(Academic Research Cycle 15.2 Recruitment Awards Announced at August 19, 2015,  
Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. In this cycle of recruitment awards, to be announced at the August 19, 2015, Oversight Committee meeting, an SRA employee also noted a conflict of interest. SRA is CPRIT's third-party grant administrator as well as administrator of peer review meetings.

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

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
<b>RR150085</b>	Stancel, George	The University of Texas Health Science Center at Houston	Katia Garcia-Crespo (SRA)
<b>Applications not considered by the PIC or Oversight Committee</b>			
<b>RR150070</b>	Martin, Stephen	The University of Texas at Austin	Gambhir, Sanjiv Sam

# **De-Identified Overall Evaluation Scores**

---

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

Academic Research Recruitment Cycle 15.2

Application ID	Final Overall Evaluation Score
RR150071 <sup>1*</sup>	1.0
RR150075 <sup>2*</sup>	1.0
RR150082*	1.5
RR150093*	1.8
RR150085*	2.0
RR150074*	2.0
RR150076*	2.3
RR150089*	2.5
a	3.8
b	4.0
c	5.0

---

<sup>1</sup> RR150071 was withdrawn by the applicant after the SRC meeting but before the PIC meeting.

<sup>2</sup> RR150075 was withdrawn by the applicant after the SRC meeting but before the PIC meeting.

\*=Recommended for funding

# **Final Overall Evaluation Scores and Rank Order Scores**

---

San Diego

**Ludwig Institute for  
Cancer Research Ltd**

May 15, 2015

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Senior Advisor on Academic  
Affairs  
New York Office

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

[rkolodner@ucsd.edu](mailto:rkolodner@ucsd.edu)

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

T 858 534 7804  
F 858 534 7750

**New York Office**  
28<sup>th</sup> Floor  
666 Third Avenue  
New York, NY 10017

T 212 450 1500  
F 212 450 1555

William Rice, M.D.  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [Bill.Rice@stdavids.com](mailto:Bill.Rice@stdavids.com)

Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprit.state.tx.us](mailto:wroberts@cprit.state.tx.us)

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, May 14, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$15,000,000.

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

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
1	RR150071	RFT	The University of Texas Southwestern Medical Center	Dr. Thales Papagiannakopoulos	\$2,000,000	1.0
2	RR150075	RFT	The University of Texas Southwestern Medical Center	Dr. Daniel A. Bachovchin	\$2,000,000	1.0
3	RR150074	RFT	The University of Texas Southwestern Medical Center	Dr. Jan Erzberger	\$2,000,000	2.0
4	RR150076	RFT	The University of Texas Southwestern Medical Center	Dr. Kendra King Frederick	\$3,000,000	2.3
5	RR150072	REI	The University of Texas Southwestern Medical Center	Dr. Yang-Xin Fu	\$6,000,000	2.5

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

REI = Recruitment of Established Investigators

RR150071 and RR150075 were withdrawn by the applicants after the SRC meeting but before the PIC meeting.

**Ludwig Institute for  
Cancer Research Ltd**

June 12, 2015

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Senior Advisor on Academic  
Affairs  
New York Office

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

[rkolodner@ucsd.edu](mailto:rkolodner@ucsd.edu)

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

T 858 534 7804  
F 858 534 7750

**New York Office**  
28<sup>th</sup> Floor  
666 Third Avenue  
New York, NY 10017

T 212 450 1500  
F 212 450 1555

William Rice, M.D.  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [Bill.Rice@stdavids.com](mailto:Bill.Rice@stdavids.com)

Wayne R. Roberts  
Chief Executive Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cpriti.state.tx.us](mailto:wroberts@cpriti.state.tx.us)

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, June 11, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$14,000,000.

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

<b>Rank</b>	<b>App ID</b>	<b>Mech.</b>	<b>Organization/Company</b>	<b>Candidate</b>	<b>Budget Requested</b>	<b>Overall Score</b>
1	RR150082	RFT	The University of Texas M. D. Anderson Cancer Center	Dr. Sidi Chen	\$2,000,000	1.5
2	RR150093	RFT	Baylor College of Medicine	Dr. Charles Y. Lin	\$2,000,000	1.8
3	RR150085	RFT	The University of Texas Health Science Center at Houston	Dr. Leng Han	\$2,000,000	2.0
4	RR150088	REI	University of Houston	Dr. Frank McKeon	\$6,000,000	2.0
5	RR150089	RFT	The University of Texas Southwestern Medical Center	Dr. Peter M. Douglas	\$2,000,000	2.5

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

REI = Recruitment of Established Investigators





---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR150072**  
**Recruitment of Established Investigators**  
**Nomination of Dr. Yang-Xin Fu**

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 Established Investigators* Request for Applications (RFA). CPRIT received 4 applications for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

The PIC recommended all awards from the Scientific Review Council. When considering awards, the PIC was aware that there may be insufficient funds to award all recommendations made to the Oversight Committee. With that in mind, the PIC unanimously recommended two options for the Oversight Committee’s consideration in the event there are insufficient monies to fully fund all recommended awards by the August 19, 2015, the meeting.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted

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

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

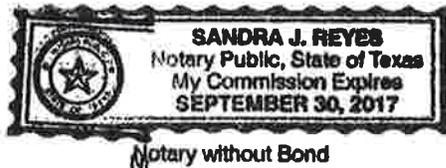
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 30<sup>th</sup> day of July, 2015,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Sandra Reyes  
 Notary Public, State of Texas



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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of Established Investigators (REI)  
**APPLICATION ID** RR150072  
**APPLICATION TITLE** Nomination of Dr. Yang-Xin Fu for a CPRIT Established Investigator Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 8 (RRP-8)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	03/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	04/20/15	07/09/15
	Date application submitted	04/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	04/30/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	04/24/15	07/09/15
	Primary Reviewer 2 COI signed	04/24/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	05/13/15	07/09/15
	Primary Reviewer 2 critique submitted	05/05/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	05/14/15	07/09/15
	Post review statements signed	05/20/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Score report delivered to CSO	05/22/15	07/09/15
Recommended for SRC Review	YES	07/09/15	
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	05/14/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	05/18/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	N/A	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR150074**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Jan Erzberger**

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 12 applications, including three that were withdrawn, for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

The PIC recommended all awards from the Scientific Review Council. When considering awards, the PIC was aware that there may be insufficient funds to award all recommendations made to the Oversight Committee. With that in mind, the PIC unanimously recommended two options for the Oversight Committee’s consideration in the event there are insufficient monies to fully fund all recommended awards by the August 19, 2015, the meeting.

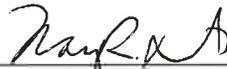
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted

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

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

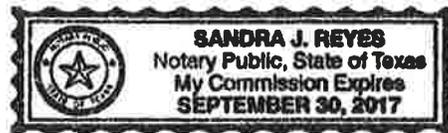
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 30th day of July, 2015,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Sandra Reyes  
 Notary Public, State of Texas



Notary without Bond

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150074  
**APPLICATION TITLE** Nomination of Jan Erzberger, Ph.D. for a CPRIT First-Time Tenure-Track Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 8 (RRP-8)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	03/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	04/20/15	07/09/15
	Date application submitted	04/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	04/30/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	04/28/15	07/09/15
	Primary Reviewer 2 COI signed	04/24/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	05/13/15	07/09/15
	Primary Reviewer 2 critique submitted	05/07/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	05/14/15	07/09/15
	Post review statements signed	05/20/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Score report delivered to CSO	05/22/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	05/14/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	05/18/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR150076**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Kendra King Frederick**

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 12 applications, including three that were withdrawn, for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

The PIC recommended all awards from the Scientific Review Council. When considering awards, the PIC was aware that there may be insufficient funds to award all recommendations made to the Oversight Committee. With that in mind, the PIC unanimously recommended two options for the Oversight Committee’s consideration in the event there are insufficient monies to fully fund all recommended awards by the August 19, 2015, the meeting.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted

- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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

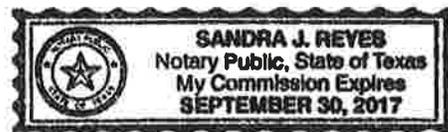
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 30<sup>th</sup> day of July, 2015,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Sandra Reyes  
Notary Public, State of Texas



Notary without Bond

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150076  
**APPLICATION TITLE** Nomination of Kendra King Frederick, Ph.D. for a CPRIT First-Time Tenure-Track Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 8 (RRP-8)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	03/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	04/20/15	07/09/15
	Date application submitted	04/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	04/30/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	04/28/15	07/09/15
	Primary Reviewer 2 COI signed	04/24/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	05/14/15	07/09/15
	Primary Reviewer 2 critique submitted	05/13/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	05/14/15	07/09/15
	Post review statements signed	05/20/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Score report delivered to CSO	05/22/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	05/14/15	07/09/15
	Third Party Observer Report	05/21/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	05/18/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application. The identity of the attesting party is retained by CPRIT.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR150085**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Leng Han**

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 12 applications, including three that were withdrawn, for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

The PIC recommended all awards from the Scientific Review Council. When considering awards, the PIC was aware that there may be insufficient funds to award all recommendations made to the Oversight Committee. With that in mind, the PIC unanimously recommended two options for the Oversight Committee’s consideration in the event there are insufficient monies to fully fund all recommended awards by the August 19, 2015, the meeting.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted

- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

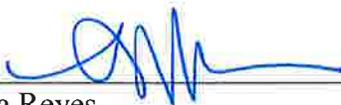
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached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

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 30<sup>th</sup> day of July, 2015,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Sandra Reyes  
 Notary Public, State of Texas

  
 Notary without Bond

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150085  
**APPLICATION TITLE** Recruitment of First-Time, Tenure-Track Faculty Members - Dr. Leng Han  
**NOMINATOR NAME** Stancel, George  
**ORGANIZATION** The University of Texas Health Science Center at Houston  
**PANEL NAME** 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	05/30/15	07/09/15
	Primary Reviewer 2 COI signed	06/01/15	07/09/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	06/07/15	07/09/15
	Primary Reviewer 2 critique submitted	06/11/15	07/09/15
	COI indicated by non-primary reviewer	Jones, Peter	07/09/15
	COI recused from participation	YES	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
4. Final SRC Recommendation	COI indicated by SRC member	Jones, Peter	07/09/15
	COI recused from participation	YES	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
5. PIC Review	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR150088**  
**Recruitment of Established Investigators**  
**Nomination of Dr. Frank McKeon**

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 Established Investigators* Request for Applications (RFA). CPRIT received 4 applications for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

The PIC recommended all awards from the Scientific Review Council. When considering awards, the PIC was aware that there may be insufficient funds to award all recommendations made to the Oversight Committee. With that in mind, the PIC unanimously recommended two options for the Oversight Committee’s consideration in the event there are insufficient monies to fully fund all recommended awards by the August 19, 2015, the meeting.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted

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

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

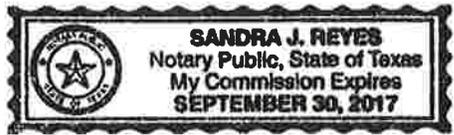
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 30<sup>th</sup> day of July, 2015,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Sandra Reyes  
 Notary Public, State of Texas



Notary without Bond

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of Established Investigators (REI)  
**APPLICATION ID** RR150088  
**APPLICATION TITLE** Recruitment of Established Investigator - Dr. Frank McKeon  
**NOMINATOR NAME** Wells, Dan  
**ORGANIZATION** University of Houston  
**PANEL NAME** 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/19/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	05/29/15	07/09/15
	Primary Reviewer 2 COI signed	06/01/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/09/15	07/09/15
	Primary Reviewer 2 critique submitted	06/09/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	N/A	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR150089**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Peter M. Douglas**

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 12 applications, including three that were withdrawn, for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

The PIC recommended all awards from the Scientific Review Council. When considering awards, the PIC was aware that there may be insufficient funds to award all recommendations made to the Oversight Committee. With that in mind, the PIC unanimously recommended two options for the Oversight Committee’s consideration in the event there are insufficient monies to fully fund all recommended awards by the August 19, 2015, the meeting.

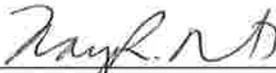
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted

- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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

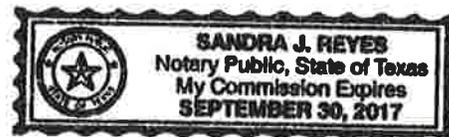
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 30<sup>th</sup> day of July, 2015,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Sandra Reyes  
 Notary Public, State of Texas



Notary without Bond

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150089  
**APPLICATION TITLE** Recruitment of Peter M. Douglas, Ph.D. for a CPRIT First-Time Tenure-Track Award  
**NOMINATOR NAME** Fitz, John  
**ORGANIZATION** The University of Texas Southwestern Medical Center  
**PANEL NAME** 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/19/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	N/A	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	06/01/15	07/09/15
	Primary Reviewer 2 COI signed	06/02/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/10/15	07/09/15
	Primary Reviewer 2 critique submitted	06/09/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
	Recommended for SRC Review	YES	07/09/15
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application. The identity of the attesting party is retained by CPRIT.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR150093**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Charles Y. Lin**

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 12 applications, including three that were withdrawn, for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

The PIC recommended all awards from the Scientific Review Council. When considering awards, the PIC was aware that there may be insufficient funds to award all recommendations made to the Oversight Committee. With that in mind, the PIC unanimously recommended two options for the Oversight Committee’s consideration in the event there are insufficient monies to fully fund all recommended awards by the August 19, 2015, the meeting.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted

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

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

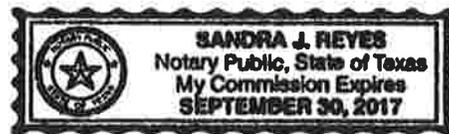
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 30th day of July, 2015,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Sandra Reyes  
 Notary Public, State of Texas



Notary without Bond

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

**FY** 2015  
**CYCLE** 2  
**PROGRAM** Research - Recruitment  
**AWARD MECHANISM** Recruitment of First-Time Faculty Members (RFTFM)  
**APPLICATION ID** RR150093  
**APPLICATION TITLE** First Time, Tenure Track Recruit: Charles Y. Lin, Ph.D.  
**NOMINATOR NAME** Kuspa, Adam  
**ORGANIZATION** Baylor College of Medicine  
**PANEL NAME** 15.2 Recruitment Review Panel - 9 (RRP-9)

Category	Compliance Requirement	Information	Attestation Date
<b>1. Pre-Receipt</b>	RFA published in Texas Register	09/19/14	07/09/15
	CPRIT Application Receipt Cycle opened	04/21/15	07/09/15
	CPRIT Application Receipt Cycle closed	05/20/15	07/09/15
	Date application submitted	05/20/15	07/09/15
	Method of submission	CARS	07/09/15
	Within receipt period	YES	07/09/15
<b>2. Receipt, Referral, and Assignment</b>	Administrative review notification	06/01/15	07/09/15
	Donation(s) made to CPRIT/foundation	NO	07/09/15
	Assigned to primary reviewers	06/03/15	07/09/15
	Applicant notified of review panel assignment	N/A	07/09/15
	Primary Reviewer 1 COI signed	05/29/15	07/09/15
	Primary Reviewer 2 COI signed	06/01/15	07/09/15
<b>3. Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	06/09/15	07/09/15
	Primary Reviewer 2 critique submitted	06/11/15	07/09/15
	COI indicated by non-primary reviewer	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	Discussed at Peer Review Meeting	YES	07/09/15
	Peer Review Meeting	06/11/15	07/09/15
	Post review statements signed	06/15/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Score report delivered to CSO	06/23/15	07/09/15
Recommended for SRC Review	YES	07/09/15	
<b>4. Final SRC Recommendation</b>	COI indicated by SRC member	NONE	07/09/15
	COI recused from participation	N/A	07/09/15
	SRC Meeting	06/11/15	07/09/15
	Third Party Observer Report	06/12/15	07/09/15
	Recommended for grant award	YES	07/09/15
	SRC Chair Notification to PIC and OC	06/12/15	07/09/15
<b>5. PIC Review</b>	COI indicated by PIC member	NONE	07/30/15
	COI recused from participation	M. KRIPKE*	07/30/15
	PIC review meeting	07/30/15	07/30/15
	Recommended for grant award	YES	07/30/15
<b>6. Oversight Committee Approval</b>	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

\*Pursuant to an approved COI waiver for FY2015 regarding MD Anderson, Dr. Kripke did not vote on this application.

The identity of the attesting party is retained by CPRIT.