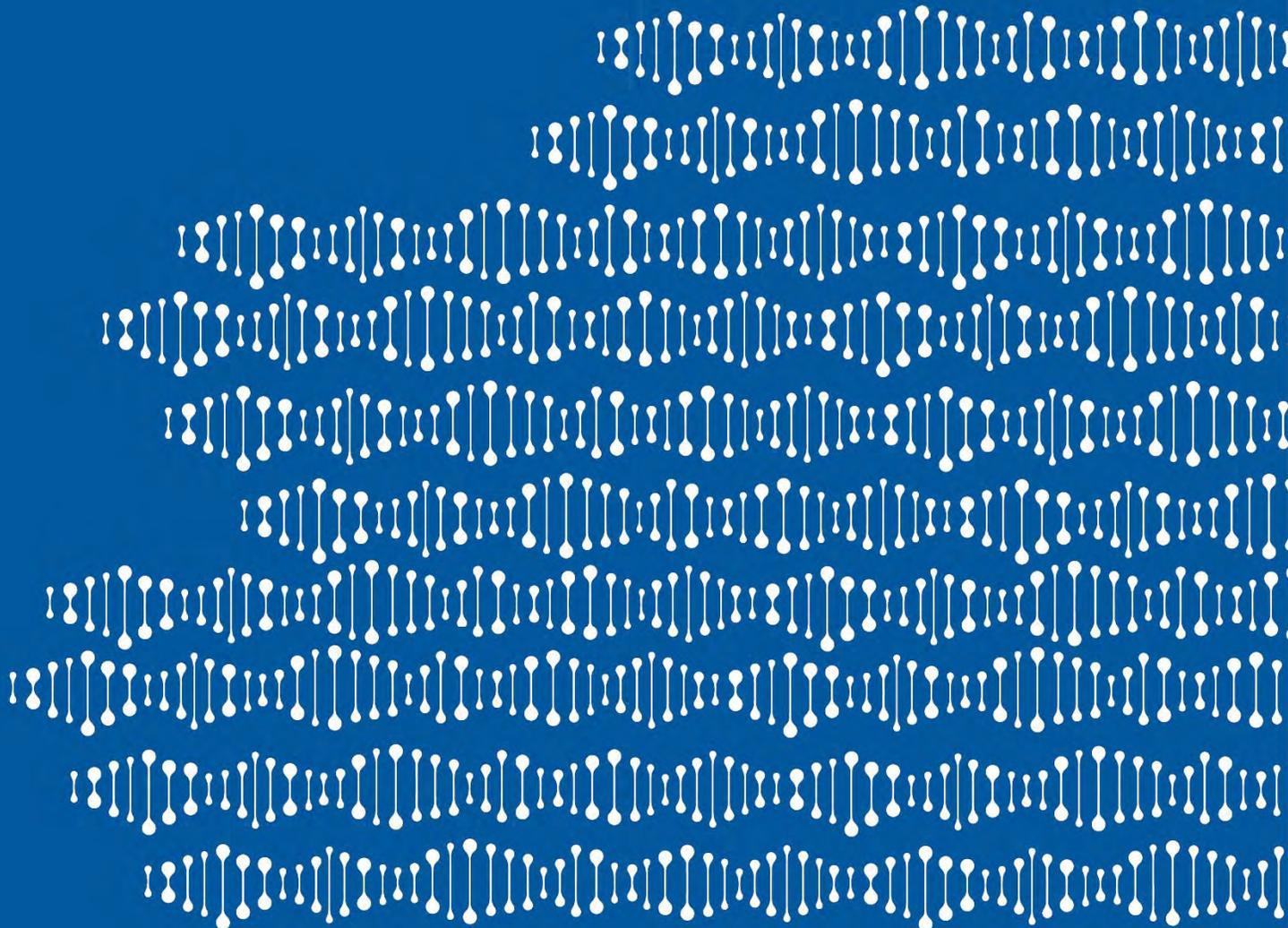




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

May 15, 2019





CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE
FROM: JAMES WILLSON, M.D., CHIEF SCIENTIFIC OFFICER
SUBJECT: ACADEMIC RESEARCH FY 2019 RECRUITMENT AWARD
RECOMMENDATIONS 19.7, 19.8, AND 19.9.
DATE: MAY 15, 2019

During the FY2019 third quarter (19.7, 19.8 and 19.9), the CPRIT Scientific Review Council (SRC) reviewed 23 recruitment applications (three Recruitment of Established Investigators, nine Recruitment of Rising Stars, and 11 Recruitment of First-Time Tenure Track Faculty Members). The Program Integration Committee (PIC) recommended funding **10** awards totaling **\$31,562,426** from the three Scholar mechanisms. Please note that application #RR190038 a Rising Star nomination was recommended by the SRC; however, the application was subsequently withdrawn by the applicant prior to the Program Integration Committee.

The recommendations are presented in three slates corresponding to grant mechanisms and displayed in Table 1.

| Table 1: Grant Mechanism | SRC Recommendations | |
|---|---------------------|---------------------|
| | Awards | Funding |
| Recruitment of Established Investigators | 2 | \$12,000,000 |
| Recruitment of Rising Stars | 2 | \$7,562,426 |
| Recruitment of First-Time, Tenure Track Faculty Members | 6 | \$12,000,000 |
| Total | 10 | \$31,562,426 |

Program Priorities Addressed:

The applications proposed to the Program Integration Committee for funding address the following Academic Research Program Priorities: Recruitment of outstanding cancer researchers to Texas, Computational Biology, Disparities, Hepatocellular Cancer and Implementation Research.

The summarization of program priorities addressed by the proposed slate of awards is displayed in Table 2 and Attachment 1.

| Table 2: Program Priorities Addressed by Grant Recommendations | | |
|--|--|----------------|
| | Program Priorities | Funding |
| 10 | Recruitment of outstanding cancer researchers to Texas | \$31,562,426 |
| 2 | Disparities | \$5,562,426 |
| 1 | Implementation research | \$3,562,426 |
| 1 | Computational Biology | \$2,000,000 |
| 1 | Hepatocellular Cancer | \$2,000,000 |
| *Some grants awards address more than one program priority and are double counted. | | |

***1. RECRUITMENT of ESTABLISHED INVESTIGATORS SLATE
FY 19.7, 19.8 and 19.9.***

Peer Review Recommendations

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

Purpose of Recruitment of Established Investigators Awards:

Recruits outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.

Funding levels for Recruitment of Established Investigators Awards:

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

Recommended Awards:

Three Recruitment of Established Investigators grant applications were submitted and The Scientific Review Council recommended two candidates for an Established Investigators Award. Candidates’ nominating institutions are: The University of Texas Southwestern Medical Center and Baylor College of Medicine.

Below is a listing of the candidates with associated expertise.

RR190037

Candidate: Suzanne D. Conzen, M.D.

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: The University of Texas Southwestern Medical Center (UTSW)

Original Organization of Nominee: University of Chicago

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.8**

Recommended Total Budget Award and Duration: \$6,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas.

Description:

Suzanne D. Conzen, M.D. is a physician scientist who is being recruited to UT Southwestern as Chief of Hematology/Oncology from the University Chicago where she is Professor of Medicine and a program leader in the Chicago Comprehensive Cancer Center. Her research is focused on the role of the glucocorticoid receptor in prostate, breast and ovarian cancers and has a strong translational rationale as highly specific modulators of the receptor are now in clinical development. She has multiple NCI research grants that she will bring to UTSW.

RR190043

Candidate: Yong Li, Ph.D.

Funding Mechanism: Recruitment of Established Investigators

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: Cleveland Clinic Lerner College of Medicine

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

Recommended Total Budget Award and Duration: \$6,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas.

Description:

Dr. Li is recommended for an Established Investigator Award in support of his recruitment to Baylor College of Medicine from the Cleveland Clinic Lerner College of Medicine, Case Western Reserve University. Dr. Li will bring unique expertise in molecular genetics to tackling unsolved questions regarding the intersection of genetics and environment in the etiology of cancer. He currently has 4 active NCI R01 grants focusing on important questions about how inherited factors affect cancer risk of exposure to xenobiotics, herbicides, and other environmental hydrocarbons. The proposed work has far-reaching potential impact from understanding biology, to prevention, to policy.

2. Recruitment RISING STARS SLATE FY 19.7, 19.8 and 19.9

Peer Review Recommendations

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

Purpose of Recruitment of Rising Stars Awards:

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

Funding levels for Recruitment of Rising Stars Awards:

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

Recommended Awards:

Nine Recruitment of Rising Stars grant applications were submitted and three were recommended by The Scientific Review Council. However, application #RR190038 was withdrawn after the SRC meeting but prior to the Program Integration Committee meeting. Candidates' nominating institutions are: The University of Texas M.D. Anderson Cancer Center and The University of Texas Southwestern Medical Center. Below is a listing of the candidates with associated expertise.

RR190058

Candidate: Qing Zhang, Ph.D.

Funding Mechanism: Recruitment of Rising Stars Award

Applicant Organization: The University of Texas Southwestern Medical Center

Original Organization of Nominee: University of North Carolina Lineberger Comprehensive Cancer Center

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

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

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas.

Description:

Qing Zhang, Ph.D., is recommended for a Rising Star Award to support his recruitment to the Department of Pathology at UT Southwestern from the University of North Carolina Comprehensive Cancer Center. Dr. Zhang's research examines how tumors adapt to hypoxia, and how the resultant molecular changes create vulnerabilities for novel therapeutic interventions. Dr. Zhang's research will provide opportunities for collaboration with other CPRIT

grantees at UTSW, including Carlos Arteaga, James Chen and James Brugarolas, and the synergies arising from these collaborations make this a particularly significant recruit.

RR190050

Candidate: Christina Dieli-Conwright, Ph.D., M.P.H.

Funding Mechanism: Recruitment of Rising Stars Award

Applicant Organization: The University of Texas M.D. Anderson Cancer Center.

Original Organization of Nominee: University of Southern California

Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **2.6**

Recommended Total Budget Award and Duration: \$3,562,426

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas; Implementation research, Disparities

Description:

Christina Dieli-Conwright, Ph.D., M.P.H., is an accomplished exercise physiologist and clinical investigator currently at the University of Southern California (USC) where she studies the role of exercise in cancer as it relates to health care disparities and leads high profile randomized clinical trials on this topic. She is being recruited to MD Anderson with a Rising Star award. Dr. Dieli-Conwright received her doctorate in kinesiology and the M.P.H. at USC and did postdoctoral work at the City of Hope before joining the USC faculty in 2012. She has a strong track record of peer reviewed funding as a clinical investigator and a correspondingly strong publication record. The strong institutional commitment to her recruitment and access to patients provide Dr. Dieli-Conwright and MD Anderson an exceptional opportunity to become a national resource for understanding how to integrate exercise in the management and prevention of cancer.

***3. RECRUITMENT OF FIRST-TIME TENURE TRACK FACULTY
MEMBERS SLATE
FY 19.7, 19.8 and 19.9***

Peer Review Recommendations

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

Purpose of First-Time Tenure Track Faculty Recruitment

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

Funding levels for First-Time Tenure Track Faculty Members Recruitment

Up to \$2 million over a period of 5 years.

Recommended Projects:

Eleven Recruitment of First-Time, Tenure Track Faculty Member applications were submitted, and The Scientific Review Council recommended six candidates for Recruitment of First-Time, Tenure Track Faculty Member Awards. Candidates' nominating institutions are Baylor College of Medicine, The University of Texas Southwestern Medical Center and Rice University.

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

RR190034

Candidate: Samuel K. McBrayer, Ph.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: The University of Texas Southwestern Medical Center

Original Organization of Nominee: Dana-Farber Cancer Institute & Harvard Medical School

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

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

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas.

Description:

Samuel K. McBrayer, Ph.D., is recommended for a First Time Tenure Track Faculty Member Award to recruit him to the Children's Medical Center Research Institute at UT Southwestern. As a Ph.D. student at Northwestern and post-doctoral trainee at Dana Farber Harvard Cancer Institute, Dr. McBrayer published a series of high-profile papers on cancer metabolism, including the discovery of novel therapies for glioblastoma based on metabolic vulnerabilities found in gliomas. At UTSW he plans to continue to focus on glioma and he will have access to outstanding collaborators many who were recruited to UTSW with CPRIT support.

RR190059

Candidate: Chengcheng Jin, Ph.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: The University of Texas Southwestern Medical Center

Original Organization of Nominee: Massachusetts Institute of Technology

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

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

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:

Chengcheng Jin, Ph.D. is recommended for a First Time Tenure Track Faculty Member Award to recruit her to UT Southwestern from MIT. She received her Ph.D. from Yale and is currently doing her postdoctoral work at MIT. At UT Southwestern she will join the Childrens Medical

Center Research Institute with plans to continue her studies started at MIT on how the microbiome that colonizes the lung can instigate or inhibit lung cancer. Much of this type of work has focused on the intestinal tract; much less has been devoted to the lung and respiratory tract, and her research is a major step towards addressing this gap and to understanding the role of the microbiome in lung cancer development.

RR190046**Candidate:** Yang Gao, Ph.D.**Funding Mechanism:** Recruitment of First-Time Tenure Track Faculty Member**Applicant Organization:** Rice University**Original Organization of Nominee:** National Institutes of Health**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.0****Recommended Total Budget Award and Duration:** \$2,000,000**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Yang Gao, Ph.D. is recommended for a First Time Tenure Track Faculty Member Award to recruit him to Rice from the NIH where he has been highly productive postdoctoral fellow. At Rice he will use biochemical and structural approaches to investigate how mitochondria replicate their genomes. Understanding of mitochondrial DNA replication is of direct relevance to cancer research and therapy and the proposed research is a highly original and timely project which will integrate well with collaborators he has identified as collaborators at MD Anderson and Baylor.

RR190052**Candidate:** Xiaojing J Gao, Ph.D.**Funding Mechanism:** Recruitment of First-Time Tenure Track Faculty Member**Applicant Organization:** Rice University**Original Organization of Nominee:** California Institute of Technology**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.6****Recommended Total Budget Award and Duration:** \$2,000,000**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Xiaojing Gao, Ph.D., is recommended for a First Time Tenure Track Faculty Member Award to recruit him to Rice from Caltech. He received his Ph.D. in biology from Stanford in 2015 and followed by a postdoctoral position at Caltech. As a postdoc, he developed a highly original system for generating protein circuits out of engineered proteins. His long-term research goal is to use these circuits to develop a platform for investigating the behavior of mammalian cells.

RR190054

Candidate: Anthony M Mustoe, Ph.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: Baylor College of Medicine

Original Organization of Nominee: University of North Carolina, Chapel Hill

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

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

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Computational Biology.

Description:

Anthony Mustoe, Ph.D. is recommended for a First Time Tenure Track Faculty Member Award to recruit him to Baylor College of Medicine from the University of North Carolina (UNC). He received his B.S. in Chemical Engineering at Washington University and a Ph.D. at Michigan, prior to his post-doctoral training at UNC. As a post-doc he developed novel chemical probes and computational programs for analysis of RNA structure. At Baylor his research will address a critical gap in understanding of RNA metabolism, and, given the widespread dysregulation of RNA metabolism in cancer, will likely reveal new mechanisms through which gene expression is usurped during malignancy.

RR190056

Candidate: Kevin J McHugh, Ph.D.

Funding Mechanism: Recruitment of First-Time Tenure Track Faculty Member

Applicant Organization: Rice University

Original Organization of Nominee: Massachusetts Institute of Technology

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

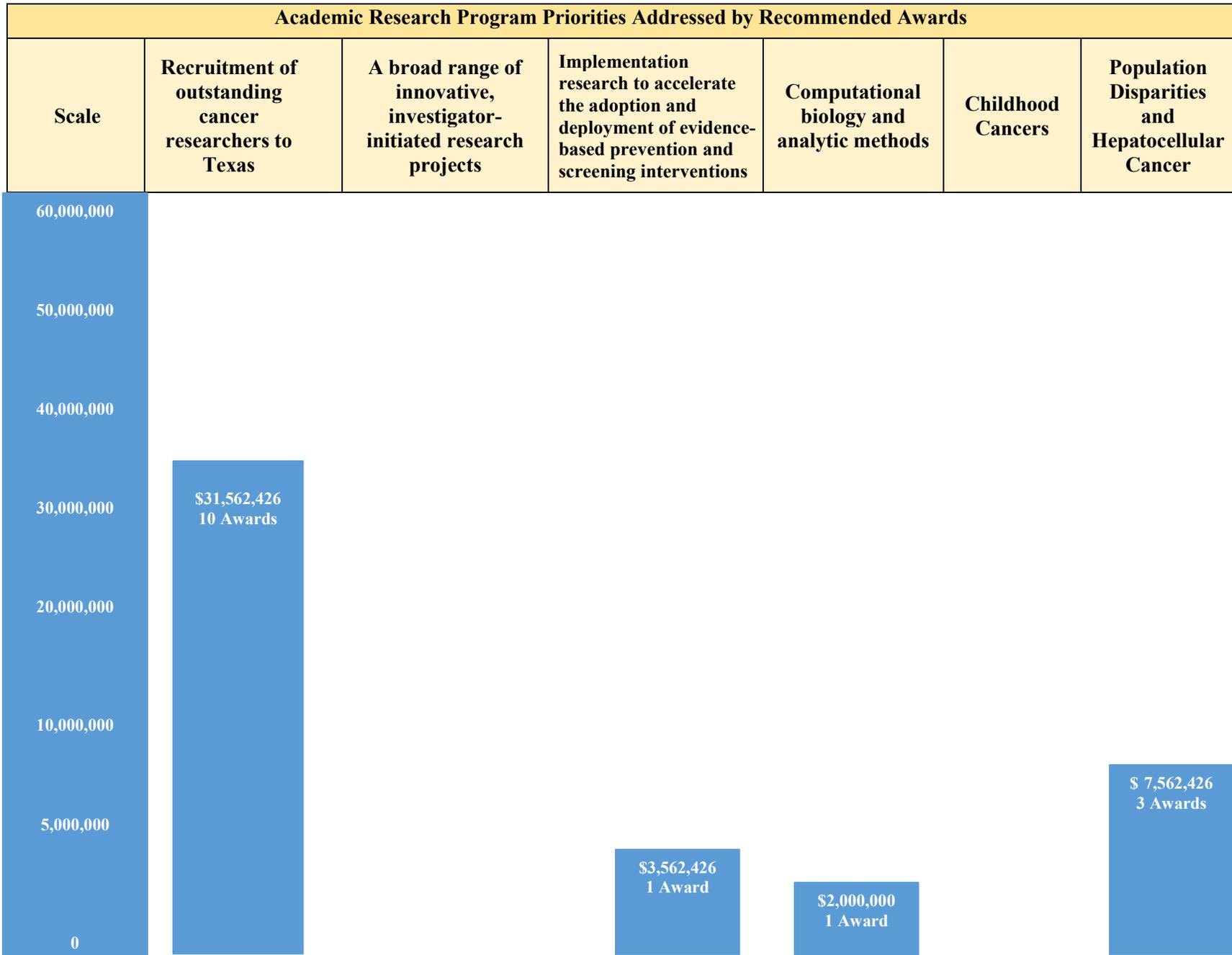
Recommended Total Budget Award and Duration: \$2,000,000

CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas, Liver Cancer, Disparities.

Description:

Kevin McHugh, Ph.D., is recommended for a First Time Tenure Track Faculty Member Award to recruit him to Rice from MIT. Dr. McHugh received his Ph.D. from Boston University and is now a postdoc with Robert Langer at MIT. He has developed a novel nanotechnology which permits continuous targeted therapy over prolonged periods. He plans to use this technology in a novel treatment strategy that targets hepatocellular carcinomas.

Attachment #1



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

Attachment #2
RFA Descriptions



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

San Diego

**Ludwig Institute for
Cancer Research Ltd**

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

Director, San Diego
Branch

Head, Laboratory of
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Distinguished Professor
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April 22, 2019

Mr. Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcprit@gmail.com

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

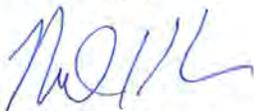
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on February 14, 2019 (REC Cycle 19.7), March 14, 2019 (REC Cycle 19.8) and April 11, 2019 (REC Cycle 19.9) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$31,562,426.

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|-----------|----------------------------------|---|--|-------------|---------------|
| 1 | RR190034 | Samuel K. McBrayer, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 2 | RR190059 | Chengcheng Jin, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 3 | RR190046 | Yang Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.0 |
| 4 | *RR190038 | Feng Yue, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$4,000,000 | 1.2 |
| 5 | RR190052 | Xiaojing J Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.6 |
| 6 | RR190037 | Suzanne D. Conzen, M.D. | Recruitment of Established Investigators | The University of Texas Southwestern Medical Center | \$6,000,000 | 1.8 |
| 7 | RR190054 | Anthony M Mustoe, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Baylor College of Medicine | \$2,000,000 | 2.0 |
| 8 | RR190056 | Kevin J McHugh, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 2.0 |
| 9 | RR190043 | Yong Li, Ph.D. | Recruitment of Established Investigators | Baylor College of Medicine | \$6,000,000 | 2.0 |
| 10 | RR190058 | Qing Zhang, Ph.D. | Recruitment of Rising Stars | The University of Texas Southwestern Medical Center | \$4,000,000 | 2.0 |
| 11 | RR190050 | Christina Dieli-Conwright, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$3,562,426 | 2.6 |

*Note: #RR190038 withdrew application after SRC meeting but prior to Program Integration Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

May 1, 2019

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 10 grant applications totaling \$31,562,426. The PIC recommendations for 10 academic research grant awards are attached.

Dr. Jim Willson, CPRIT's Chief Scientific Officer, has prepared an overview of the academic research slates to assist your evaluation of the recommended awards. The overview is intended to provide a comprehensive summary with enough detail to understand the substance of the proposal and the reasons endorsing grant funding. In addition to the full overview, all of the information considered by the Review Council is available by clicking on the appropriate link in the portal. This information includes the application, peer reviewer critiques, and the CEO affidavit for each proposal.

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

The award recommendations will not be considered final until the Oversight Committee meeting on May 15, 2019. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

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

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Award Recommendations –

The PIC unanimously recommends approval of 10 academic research grant proposals totaling \$31,562,426. The recommended grant proposals were submitted in response to three grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Established Investigators; and Recruitment of Rising Stars. The SRC provided the prioritized list of recommendations for the awards to the presiding officers of the PIC and Oversight Committee on April 23, 2019. One application, RR190038, that was recommended by the SRC was withdrawn by the applicant prior to the PIC meeting; therefore, the PIC did not consider the application.

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

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state;
- enhance research superiority at institutions of higher education in this state by creating new research superiority, attracting existing research superiority from institutions not located in this state and other research entities, or enhancing existing research superiority by attracting from outside this state additional researchers and resources; and
- address the goals of the Texas Cancer Plan.

Academic Research Recruitment Grant Award Recommendations

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|-------------|---------------|----------------------------------|---|--|---------------|----------------------|
| 1 | RR190034 | Samuel K. McBrayer , Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 2 | RR190059 | Chengcheng Jin, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 3 | RR190046 | Yang Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.0 |
| 4 | RR190052 | Xiaojing J Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.6 |
| 5 | RR190037 | Suzanne D. Conzen, M.D. | Recruitment of Established Investigators | The University of Texas Southwestern Medical Center | \$6,000,000 | 1.8 |
| 6 | RR190054 | Anthony M Mustoe, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Baylor College of Medicine | \$2,000,000 | 2.0 |
| 7 | RR190056 | Kevin J McHugh , Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 2.0 |
| 8 | RR190043 | Yong Li, Ph.D. | Recruitment of Established Investigators | Baylor College of Medicine | \$6,000,000 | 2.0 |
| 9 | RR190058 | Qing Zhang, Ph.D. | Recruitment of Rising Stars | The University of Texas Southwestern Medical Center | \$4,000,000 | 2.0 |
| 10 | RR190050 | Christina Dieli-Conwright, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$3,562,426 | 2.6 |



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – MAY 2019 AWARDS
DATE: MAY 1, 2019

Summary and Recommendation:

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

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

I have conferred with staff at CPRIT and General Dynamics Information Technology (GDIT), CPRIT’s contracted third-party grants administrator, regarding the academic research awards and studied the supporting grant review documentation, including third-party observer reports for the peer review meetings. I am satisfied that the application review process that resulted in the above mechanisms recommended by the Program Integration Committee (PIC) followed applicable laws and agency administrative rules. I certify the academic research award recommendations for the Oversight Committee’s consideration.

Background:

CPRIT’s Chief Compliance Officer must report to the Oversight Committee regarding compliance with the statute and the agency’s administrative rules. Among the Chief Compliance Officer’s responsibilities is the obligation “to ensure that all grant proposals comply with this chapter and rules adopted under this chapter before the proposals are submitted to the oversight committee for approval.” Texas Health & Safety Code § 102.051(c) and (d).

CPRIT uses a compliance pedigree process to formally document compliance for the grant award process. The compliance pedigree tracks the grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is

created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by GDIT employees and CPRIT employees. CPRIT relies on GDIT to accurately record a majority of the information on the pedigree from the pre-receipt stage to final Review Council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by GDIT. This is done to minimize the opportunity for error caused by manual data entry.

No Prohibited Donations:

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

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

Pre-Receipt Compliance:

The activities listed on a compliance pedigree in the pre-receipt stage cover the period beginning with CPRIT's approval and issuance of the Request for Applications (RFA) through the submission of grant applications. For the period covering these RFAs, CPRIT published the RFAs on the Texas.gov eGrants website. The RFA specifies a deadline and mandates that only those applications submitted electronically through 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 the application submission. When this occurs, the applicant may appeal to CPRIT (through the CPRIT Helpdesk that is managed by GDIT) to allow for a submission after the deadline. The program officer considers any requests for extension and may approve an extension for good cause. When a late filing request is approved, the applicant is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Academic Research:

For recruitment Cycles 19.7, 19.8 and 19.9, three applications were received for the Recruitment of Established Investigators RFA, nine applications were received for the Recruitment of Rising Stars RFA, and 11 applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA.

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

Receipt, Referral, and Assignment Compliance:

Once applications have been submitted through CARS, GDIT staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, GDIT notifies the program officer and the program officer makes the final decision whether to administratively withdraw the application. Recruitment grant applications and the Dissemination of CPRIT-funded Cancer Control Intervention grant applications are assigned to their respective review council members for review. All other academic research, product development research, and prevention applications are assigned by the peer review panel chair to their respective peer review panels. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

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

Academic Research:

For Cycles 19.7, 19.8 and 19.9, one recruitment application was withdrawn by the applicant after the Scientific Review Council meeting but before the Program Integration Committee meeting.

Peer Review:

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

Academic Research:

For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. For cycles 19.7, 19.8 and 19.9, one conflict of interest was declared by the SRC.

I reviewed and confirmed that the post review conflict of interest statements were signed by the SRC members that attended the Recruitment Review Panel meetings on February 14, 2019, March 14, 2019 and April 11, 2019.

Programmatic Review:

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

Academic Research:

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

I reviewed and confirmed that the Review Council recommendations corresponded to RFAs that had been released. I also confirmed that the pedigrees reflect the date of the Review Council meeting and that the applications were recommended by the Review Council.

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

Program Integration Committee (PIC) Review:

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

I attended the April 30, 2019, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 10 applications, and all 10 applications were recommended to move forward to the Oversight Committee. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2019—Cycles 7-9
Recruitment of Established Investigators

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-19.1-REI

Recruitment of Established Investigators

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2018**

Application Receipt Dates:

June 21, 2018-June 20, 2019

FY 2019

Fiscal Year Award Period

September 1, 2018-August 31, 2019

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RFA VERSION HISTORY

Rev 6/21/18 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Academic Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency with regard to how the Oversight Committee directs the orientation of the agency's funding portfolio.

Established Principles:

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

- Recruitment of outstanding cancer researchers to Texas
- Investment in core facilities
- A broad range of innovative, investigator-initiated research projects
- Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions; computational biology and analytic methods
- Childhood cancers
- Hepatocellular cancer

2. RATIONALE

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

Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions, computational biology and analytic methods, childhood cancers, and hepatocellular cancer.

3. RECRUITMENT OBJECTIVES

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

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

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

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

4. INSTITUTIONAL COMMITMENT

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of an Established Investigator should be complemented by a strong institutional commitment to the recruitment (see [section 8.2.2](#)). The financial commitments made to the candidate by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.

5. FUNDING INFORMATION

This award is up to 5-years 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, except under extraordinary circumstances with strong justification for a no cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. **Funds from this award mechanism may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** No annual limit on the number of potential award recipients has been set.

Note the annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award for FY 2019 is limited to a maximum of \$200,000. In other words, an individual may request salary proportional to the percent of effort up to a maximum of \$200,000. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

Note: Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2019) or in the first quarter of the next fiscal year (starting September 1, 2019).

6. 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.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.

- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

7. 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.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

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

Dependent upon available funding, applications will be accepted on a continuous basis throughout FY19. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document 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 6](#) will be administratively withdrawn without review.

8.2.1. Summary of Nomination (2,500 characters)

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

8.2.2. Institutional Commitment (3 pages)

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of an Established Investigator Faculty should be complemented by a strongly documented institutional commitment to the recruitment. The financial commitments made to the candidate by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.

NOTE: INSTITUTIONAL COMMITMENT AS DESCRIBED ABOVE MUST BE INCLUDED IN THE GRANT APPLICATION, PRESENTED IN A TABULAR SUMMARY THAT CLEARLY IDENTIFIES THE SALARY AMOUNT, SOURCES, AND ANY ADDITIONAL RESEARCH SUPPORT FROM INSTITUTIONAL SOURCES OVER THE COURSE OF THE CPRIT AWARD.

The following guidelines for content should be used when outlining the institutional commitment:

1. Information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.
2. The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas.
3. State the total award amount requested.
4. Include a brief job description for the candidate should recruitment be successful.
5. Clearly describe the institutional commitment to the candidate, including documentation of total salary, institutional salary support through the course of the CPRIT award, and additional support for the applicant's research program, endowment or other support, space, equipment, and all other agreements between the institution and the candidate.

6. This information may be provided as part of a paragraph text or as a tabular summary that states the approximate amounts assigned to each item.
7. Institutions may provide additional information in support of a candidate's research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate's cancer research. This additional information is encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research.

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to 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 (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

8.2.3. Letter of Support from Department Chair (1 page)

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

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

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

Description of Candidate Duties and Certification of 70% Time Commitment to Research:

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

8.2.4. Curriculum Vitae (CV)

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

8.2.5. Summary of Goals and Objectives (2,000 characters)

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

8.2.6. 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. I understand that requests to change the recruiting institution during the recruitment process are inappropriate."

8.2.7. Research Collaboration/Synergy Plan (2 pages)

Institutions may provide additional information in support of a candidate's research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate's cancer research. This additional information is encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research, such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research. Biographical sketches of collaborators established in the research collaborative plan must be uploaded as part of the application. This will be in addition to the 2 page synergy plan (see IFA).

8.2.8. 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.

8.2.9. 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.

8.2.10. 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. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

8.2.11. 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.

8.2.12. 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.

9. APPLICATION REVIEW

9.1. Review Process

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

Applications recommended by the Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

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

9.2. Confidentiality of Review

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

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

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an

Oversight Committee member, a PIC member, or a Scientific Review Council member.

Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

9.3. 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 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?

grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov.

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

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

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. Helpdesk

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

Hours of operation: Monday through Friday, 8 AM to 6 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports



Cancer Prevention and Research Institute of Texas (CPRIT)
Recruitment Review Panel-19.7 Peer Review Meeting
(REC 19.7)
Observation Report

Report No. 2019-02-14 REC_19.7
Program Name: Academic Research
Panel Name: Recruitment Review Panel -19.7 Peer Review Meeting (REC_19.7)
Panel Date: 02/14/2019
Report Date: 02-15-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel-19.7 Peer Review Meeting (REC_19.7) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on February 14, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

- The panel focused on the established scoring criteria and/or making recommendations.

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed.
- Panelists: One (1) panel chair and Five (5) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

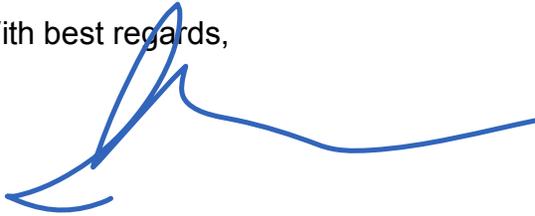
CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the text 'With best regards,'.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Recruitment Review Panel 19.8 (REC 19.8)

Observation Report

Report No. 2019-03-14 REC_19.8
Program Name: Academic Research
Panel Name: Recruitment Review Panel 19.8 (REC_19.8)
Panel Date: 03-14-2019
Report Date: 03-15-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel 19.8 (REC_19.8) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on march 14, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed
- Panelists: One (1) panel chair and six (6) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were one (1) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the closing text.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Recruitment Review Panel-19.9 (REC 19.9)

Observation Report

Report No. 2019-04-11 REC 19.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel-19.9 (REC_19.9)
Panel Date: 04-11-2019
Report Date: 04-12-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel-19.9 (REC_19.9) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on April 11, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed
- Panelists: One (1) panel chair and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COIs identified prior to and/or during the meeting.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the closing text.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment 19.7-9 Applications
(Academic Research Recruitment Cycle 19.7-9 Awards Announced at May 15, 2019,
Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 19.7-9 include *Recruitment of Established Investigators, Recruitment of First-Time Tenure-Track Faculty Members, 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 General Dynamics Information Technology, CPRIT’s third party grant administrator, and by CPRIT.

| Application ID | Applicant/PI | Institution | Conflict Noted |
|---|---------------------|--|--------------------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| RR190050 | Draetta, Gulio | The University of Texas M. D. Anderson Cancer Center | Jones, Peter; Montgomery, Will |
| RR190034 | Thiele, Dwain | The University of Texas Southwestern Medical Center | Montgomery, Will |
| RR190037 | Thiele, Dwain | The University of Texas Southwestern Medical Center | Montgomery, Will |
| RR190043 | Kuspa, Adam | Baylor College of Medicine | Montgomery, Will |
| RR190046 | Rossky, Peter J | Rice University | Montgomery, Will |
| RR190052 | DesRoches, Reginald | Rice University | Montgomery, Will |
| RR190054 | Kuspa, Adam | Baylor College of Medicine | Montgomery, Will |
| RR190056 | DesRoches, Reginald | Rice University | Montgomery, Will |
| RR190058 | Lee, W. P. Andrew | The University of Texas Southwestern Medical Center | Montgomery, Will |

| Application ID | Applicant/PI | Institution | Conflict Noted |
|--|---------------------|---|-----------------------|
| RR190059 | Lee, W. P. Andrew | The University of Texas Southwestern Medical Center | Montgomery, Will |
| Applications not considered by the PIC or Oversight Committee | | | |
| No conflicts reported. | | | |

De-Identified Overall Evaluation Scores

Recruitment of Established Investigators
Academic Research Recruitment Cycles 19.7-19.9

| Application ID | Final Overall Evaluation Score |
|----------------|--------------------------------|
| RR190037* | 1.8 |
| RR190043* | 2.0 |
| f | 5.0 |

* Recommended for funding.

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

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

Director, San Diego
Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

rkolodner@ucsd.edu

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UC San Diego School of
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La Jolla, CA 92093-0669

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F 858 534 7750

April 22, 2019

Mr. Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcprit@gmail.com

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

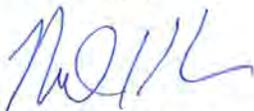
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on February 14, 2019 (REC Cycle 19.7), March 14, 2019 (REC Cycle 19.8) and April 11, 2019 (REC Cycle 19.9) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$31,562,426.

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|-----------|----------------------------------|---|--|-------------|---------------|
| 1 | RR190034 | Samuel K. McBrayer, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 2 | RR190059 | Chengcheng Jin, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 3 | RR190046 | Yang Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.0 |
| 4 | *RR190038 | Feng Yue, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$4,000,000 | 1.2 |
| 5 | RR190052 | Xiaojing J Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.6 |
| 6 | RR190037 | Suzanne D. Conzen, M.D. | Recruitment of Established Investigators | The University of Texas Southwestern Medical Center | \$6,000,000 | 1.8 |
| 7 | RR190054 | Anthony M Mustoe, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Baylor College of Medicine | \$2,000,000 | 2.0 |
| 8 | RR190056 | Kevin J McHugh, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 2.0 |
| 9 | RR190043 | Yong Li, Ph.D. | Recruitment of Established Investigators | Baylor College of Medicine | \$6,000,000 | 2.0 |
| 10 | RR190058 | Qing Zhang, Ph.D. | Recruitment of Rising Stars | The University of Texas Southwestern Medical Center | \$4,000,000 | 2.0 |
| 11 | RR190050 | Christina Dieli-Conwright, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$3,562,426 | 2.6 |

*Note: #RR190038 withdrew application after SRC meeting but prior to Program Integration Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2019—Cycles 7-9
*Recruitment of First-Time, Tenure-Track
Faculty Members*

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-19.1-RFT

Recruitment of First-Time Tenure-Track Faculty Members

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2018**

Application Receipt Dates:

June 21, 2018-June 20, 2019

FY 2019

Fiscal Year Award Period

September 1, 2018-August 31, 2019

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RFA VERSION HISTORY

Rev 6/21/18 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Academic Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency with regard to how the Oversight Committee directs the orientation of the agency's funding portfolio.

Established Principles:

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

- Recruitment of outstanding cancer researchers to Texas
- Investment in core facilities
- A broad range of innovative, investigator-initiated research projects
- Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions
- Computational biology and analytic methods
- Childhood cancers
- Hepatocellular cancer

2. RATIONALE

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

The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions computational biology and analytic methods, childhood cancers, and hepatocellular cancer.

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the State of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. This CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators **seeking their first tenure-track position.**

CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be

appropriate for a newly independent investigator and should foster the development of preliminary data that can be used to prepare applications for future independent research project grants to further both the investigator's research career and the CPRIT mission. The institution will be expected to work with each newly recruited research faculty member to design and execute a faculty career development plan consistent with his or her research emphasis. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

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

4. INSTITUTIONAL COMMITMENT

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of a First-Time Tenure-Track Faculty should therefore be complemented by a strong institutional commitment to the candidate's career development that includes financial commitments that are in addition to the CPRIT award. The institutional commitment should be clearly documented in the application (see [section 8.2.2](#)) and include the amount and sources of salary support and all additional financial support that will be available to the candidate's research program through the course of the CPRIT award. The financial commitments made to the candidate for his or her research program by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT Award.

5. FUNDING INFORMATION

This award is up to 5 years 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 5-year period may be requested. Funding is to be used by the candidate to support his or her research program. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the

year. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Funds from this CPRIT award may not be used for salary support of this candidate or to construct or renovate laboratory space. No annual limit on the number of potential award recipients has been set.

Note: Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2019) or in the first quarter of the next fiscal year (starting September 1, 2019).

6. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position as assistant professor tenure track at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Scientific

Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate must ***not*** hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non-tenure-track appointments at the rank of assistant professor are ***not*** eligible for this award. Examples of such appointments include research assistant professor, adjunct research assistant professor, assistant professor (non-tenure track). The candidate may or may not reside in Texas at the time the application is submitted and may be nominated for a faculty position at the Texas institution where he or she is completing postdoctoral training.
- Successful candidates will be offered tenure-track academic positions at the rank of assistant professor.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in

a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

7. 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.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application 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 Application Signing Official, who is the person authorized to sign and submit the application for the organization, and the Grants

Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout FY19. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document 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 6](#) will be administratively withdrawn without review.

8.2.1. 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.

8.2.2. Institutional Commitment (3 pages)

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of a First-Time Tenure-Track Faculty should therefore be complemented by a strongly documented institutional commitment to the candidate's career development that includes financial commitments that are in addition to the CPRIT award.

The institutional commitment should be clearly documented in the application in the form of a letter signed by the applicant institution's president, provost, or appropriate dean and include the amount and sources of salary support and all additional financial support that will be available to the candidate's research program through the course of the CPRIT award. The financial commitments made to the candidate by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.

NOTE: INSTITUTIONAL COMMITMENT AS DESCRIBED ABOVE MUST BE INCLUDED IN THE GRANT APPLICATION, PRESENTED IN A TABULAR SUMMARY THAT CLEARLY IDENTIFIES THE SALARY AMOUNT, SOURCES, AND ANY ADDITIONAL RESEARCH SUPPORT FROM INSTITUTIONAL SOURCES OVER THE COURSE OF THE CPRIT AWARD.

The following guidelines should be used when documenting the institutional commitment in the letter signed by the applicant institution's president, provost, or appropriate dean.

1. Demonstrate the organization's commitment to bringing the candidate to Texas.
2. State the total award amount requested.
3. Include a brief job description for the candidate should recruitment be successful.
4. Clearly describe the institutional commitment to the candidate including total salary and fringe benefits and sources of salary support through the course of the CPRIT award; additional financial support for the applicant's research program including dedicated personnel, access to students, amounts for equipment and supplies; space assignment and access to shared equipment; and all other agreements between the institution and the candidate.
5. This information is required to be provided as a tabular summary that states the approximate amounts assigned to each item.
6. Institutions may provide additional information in support of a candidate's research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate's cancer research. This additional information is encouraged when proposing a candidate with exceptional expertise and/or talent that can be

directed to cancer research such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research.

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to 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 (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

8.2.3. Letter of Support from Department Chair (1 page)

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

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

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

Description of Candidate Duties and Certification of 70% Time Commitment to Research:

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

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

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

8.2.4. Curriculum Vitae (CV)

Provide a complete CV and list of publications for the candidate. Only articles that have been published or that have been accepted for publication (“in press”) should be cited.

8.2.5. Summary of Goals and Objectives (2,000 characters)

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

8.2.6. 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. I understand that requests to change the recruiting institution during the recruitment process are inappropriate."

8.2.7. Research Collaboration/Synergy Plan (2 pages)

Institutions may provide additional information in support of a candidate's research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate's cancer research. This additional information is encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research, such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research. Biographical sketches of collaborators established in the research collaborative plan must be uploaded as part of the application. This will be in addition to the 2 page synergy plan (see IFA).

8.2.8. 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.

8.2.9. 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.

8.2.10. 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. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

8.2.11. 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.

8.2.12. Research Environment (1 page)

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

8.2.13. 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.

9. APPLICATION REVIEW

9.1. Review Process

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

Applications recommended by the Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

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

9.1.1. Confidentiality of Review

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

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

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, or a Scientific Review Council member.

Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

9.2. 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 reasonable expectation that the recruitment will be successful if an award is granted by CPRIT.

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

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

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

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

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

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research? Is there evidence of strong institutional support? Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on growing his or her research? Has the institution identified a mentor who will design and execute a faculty career development plan for the candidate?

10. KEY DATES

RFA

RFA Release

June 21, 2018

Application Receipt and Review Timeline

| Application Receipt System opens 7 AM CT | Application Receipt | Anticipated Application Review | Application Closing Date |
|---|----------------------------|--|---------------------------------|
| June 21, 2018 | Continuous | Monthly by the 15 th day of the month | June 20, 2019 |

11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov.

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

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

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

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. Helpdesk

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

Hours of operation: Monday through Friday, 8 AM to 6 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports



Cancer Prevention and Research Institute of Texas (CPRIT)
Recruitment Review Panel-19.7 Peer Review Meeting
(REC 19.7)
Observation Report

Report No. 2019-02-14 REC_19.7
Program Name: Academic Research
Panel Name: Recruitment Review Panel -19.7 Peer Review Meeting (REC_19.7)
Panel Date: 02/14/2019
Report Date: 02-15-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel-19.7 Peer Review Meeting (REC_19.7) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on February 14, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

- The panel focused on the established scoring criteria and/or making recommendations.

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed.
- Panelists: One (1) panel chair and Five (5) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, consisting of a stylized, cursive name that appears to be 'Mara Ash'.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Recruitment Review Panel 19.8 (REC 19.8)

Observation Report

Report No. 2019-03-14 REC_19.8
Program Name: Academic Research
Panel Name: Recruitment Review Panel 19.8 (REC_19.8)
Panel Date: 03-14-2019
Report Date: 03-15-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel 19.8 (REC_19.8) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on march 14, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed
- Panelists: One (1) panel chair and six (6) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were one (1) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the closing text.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Recruitment Review Panel-19.9 (REC 19.9)

Observation Report

Report No. 2019-04-11 REC 19.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel-19.9 (REC_19.9)
Panel Date: 04-11-2019
Report Date: 04-12-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel-19.9 (REC_19.9) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on April 11, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed
- Panelists: One (1) panel chair and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COIs identified prior to and/or during the meeting.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

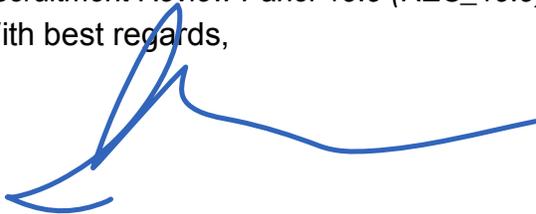
CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the text 'With best regards,'.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment 19.7-9 Applications
(Academic Research Recruitment Cycle 19.7-9 Awards Announced at May 15, 2019,
Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 19.7-9 include *Recruitment of Established Investigators, Recruitment of First-Time Tenure-Track Faculty Members, 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 General Dynamics Information Technology, CPRIT’s third party grant administrator, and by CPRIT.

| Application ID | Applicant/PI | Institution | Conflict Noted |
|---|---------------------|--|--------------------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| RR190050 | Draetta, Gulio | The University of Texas M. D. Anderson Cancer Center | Jones, Peter; Montgomery, Will |
| RR190034 | Thiele, Dwain | The University of Texas Southwestern Medical Center | Montgomery, Will |
| RR190037 | Thiele, Dwain | The University of Texas Southwestern Medical Center | Montgomery, Will |
| RR190043 | Kuspa, Adam | Baylor College of Medicine | Montgomery, Will |
| RR190046 | Rossky, Peter J | Rice University | Montgomery, Will |
| RR190052 | DesRoches, Reginald | Rice University | Montgomery, Will |
| RR190054 | Kuspa, Adam | Baylor College of Medicine | Montgomery, Will |
| RR190056 | DesRoches, Reginald | Rice University | Montgomery, Will |
| RR190058 | Lee, W. P. Andrew | The University of Texas Southwestern Medical Center | Montgomery, Will |

| Application ID | Applicant/PI | Institution | Conflict Noted |
|--|---------------------|---|-----------------------|
| RR190059 | Lee, W. P. Andrew | The University of Texas Southwestern Medical Center | Montgomery, Will |
| Applications not considered by the PIC or Oversight Committee | | | |
| No conflicts reported. | | | |

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members
Academic Research Recruitment Cycles 19.7-19.9

| Application ID | Final Overall Evaluation Score |
|----------------|--------------------------------|
| RR190034* | 1.0 |
| RR190059* | 1.0 |
| RR190046* | 1.0 |
| RR190052* | 1.6 |
| RR190054* | 2.0 |
| RR190056* | 2.0 |
| a | 2.7 |
| b | 3.0 |
| c | 3.2 |
| d | 3.8 |
| e | 4.5 |

* Recommended for award.

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

April 22, 2019

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

Mr. Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcprit@gmail.com

Director, San Diego
Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

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

Dear Mr. Montgomery and Mr. Roberts,

rkolodner@ucsd.edu

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on February 14, 2019 (REC Cycle 19.7), March 14, 2019 (REC Cycle 19.8) and April 11, 2019 (REC Cycle 19.9) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members.

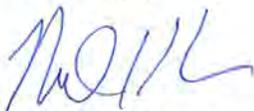
San Diego Branch
UC San Diego School of
Medicine
CMM-East / Rm 3058
9500 Gilman Dr - MC
0669
La Jolla, CA 92093-0669

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$31,562,426.

T 858 534 7804
F 858 534 7750

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|-----------|----------------------------------|---|--|-------------|---------------|
| 1 | RR190034 | Samuel K. McBrayer, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 2 | RR190059 | Chengcheng Jin, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 3 | RR190046 | Yang Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.0 |
| 4 | *RR190038 | Feng Yue, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$4,000,000 | 1.2 |
| 5 | RR190052 | Xiaojing J Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.6 |
| 6 | RR190037 | Suzanne D. Conzen, M.D. | Recruitment of Established Investigators | The University of Texas Southwestern Medical Center | \$6,000,000 | 1.8 |
| 7 | RR190054 | Anthony M Mustoe, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Baylor College of Medicine | \$2,000,000 | 2.0 |
| 8 | RR190056 | Kevin J McHugh, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 2.0 |
| 9 | RR190043 | Yong Li, Ph.D. | Recruitment of Established Investigators | Baylor College of Medicine | \$6,000,000 | 2.0 |
| 10 | RR190058 | Qing Zhang, Ph.D. | Recruitment of Rising Stars | The University of Texas Southwestern Medical Center | \$4,000,000 | 2.0 |
| 11 | RR190050 | Christina Dieli-Conwright, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$3,562,426 | 2.6 |

*Note: #RR190038 withdrew application after SRC meeting but prior to Program Integration Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

FY 2019—Cycles 7-9
Recruitment of Rising Stars

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-19.1-RRS

Recruitment of Rising Stars

**Please also refer to the Instructions for Applicants document,
which will be posted on June 21, 2018**

Application Receipt Dates:

June 21, 2018-June 20, 2019

FY 2019

Fiscal Year Award Period

September 1, 2018-August 31, 2019

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RFA VERSION HISTORY

Rev 6/21/18 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Academic Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency with regard to how the Oversight Committee directs the orientation of the agency's funding portfolio.

Established Principles:

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

- Recruitment of outstanding cancer researchers to Texas
- Investment in core facilities
- A broad range of innovative, investigator-initiated research projects
- Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions
- Computational biology and analytic methods
- Childhood cancers
- Hepatocellular cancer

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). Awards are intended to provide institutions with a competitive edge in recruiting the world’s best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the State of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT’s priority areas for research. These include implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions, computational biology and analytic methods, childhood cancers, and hepatocellular cancer.

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the State of Texas. Having already demonstrated extraordinary accomplishments during their initial years of independent research, Rising Stars represent a unique blend of scholastic aptitude, scientific rigor, and commitment to exploring transformational research through the development of creative ideas with high potential.

Candidates who have not historically worked in cancer research but are proposing creative hypotheses and research plans for this field are encouraged to apply. Similarly, candidates pursuing original and potentially high-impact basic science programs that have the potential to be translated toward clinical investigations or provide “proof of principle” are also encouraged to apply. It is expected that the candidate will contribute significantly to and have a major impact on the institution’s overall cancer research initiative. Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving

outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework.

Ideal candidates will have specific expertise in cancer-related areas needed to address an institutional priority. Candidates are expected to be approximately at the career level of a late assistant/early associate professor or equivalent. This funding mechanism considers expertise, accomplishments, and breadth of experience vital metrics for guiding CPRIT's investment in that person's originality, insight, and potential for continued contribution. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

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

4. INSTITUTIONAL COMMITMENT

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of a Rising Star should be complemented by a strong institutional commitment to the recruitment (see [section 8.2.2](#)). The financial commitments made to the candidate by the recruiting institution is required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.

5. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee, as long as the total award does not exceed \$4,000,000. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years except under extraordinary circumstances with strong justification for a no

cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Funds from this award mechanism may be used for salary support of this candidate but may not be used to construct or renovate laboratory space. No annual limit on the number of potential award recipients has been set.

Note the annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award for FY 2019 is limited to a maximum of \$200,000. In other words, an individual may request salary proportional to the percent of effort up to a maximum of \$200,000. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

Note: Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2019) or in the first quarter of the next fiscal year (starting September 1, 2019).

6. 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.

- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of assistant or associate professor tenure track or tenured (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.

- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

7. RESUBMISSION POLICY

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

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

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

Dependent upon available funding, applications will be accepted on a continuous basis throughout FY18. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20th falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document 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 6](#) will be administratively withdrawn without review.

8.2.1. 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.

8.2.2. Institutional Commitment (3 pages)

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for the recruitment of a Rising Star should be complemented by a strongly documented institutional commitment to the recruitment. The financial commitments made to the candidate by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.

NOTE: INSTITUTIONAL COMMITMENT AS DESCRIBED ABOVE MUST BE INCLUDED IN THE GRANT APPLICATION, PRESENTED IN A TABULAR SUMMARY THAT CLEARLY IDENTIFIES THE SALARY AMOUNT, SOURCES, AND ANY ADDITIONAL RESEARCH SUPPORT FROM INSTITUTIONAL SOURCES OVER THE COURSE OF THE CPRIT AWARD.

The following guidelines should be used when outlining the institutional commitment:

1. Information should be supplied in the form of a letter signed by the applicant institution's president, provost, or appropriate dean.
2. The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas.
3. State the total award amount requested.
4. Include a brief job description for the candidate should recruitment be successful.
5. Clearly describe the institutional commitment to the candidate, including documentation of total salary, institutional salary support through the course of the CPRIT award and additional support for the applicant's research program, endowment or other support, space, equipment, and all other agreements between the institution and the candidate.
6. This information is required to be provided as a tabular summary that states the approximate amounts assigned to each item.
7. Institutions may provide additional information in support of a candidate's research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate's cancer research. This additional information is encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research.

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to 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 (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

8.2.3. Letter of Support from Department Chair (1 page)

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

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

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

Description of Candidate Duties and Certification of 70% Time Commitment to Research:

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

8.2.4. Curriculum Vitae (CV)

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

8.2.5. Summary of Goals and Objectives (2,000 characters)

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

8.2.6. 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. I understand that requests to change the recruiting institution during the recruitment process are inappropriate.”

8.2.7. Research Collaboration/Synergy Plan (2 pages)

Institutions may provide additional information in support of a candidate’s research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate’s cancer research. This additional information is encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research, such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research. Biographical sketches of collaborators established in the research collaborative plan must be uploaded as part of the application. This will be in addition to the 2 page synergy plan (see IFA).

8.2.8. 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.

8.2.9. 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.

8.2.10. 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. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

8.2.11. 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.

8.2.12. 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.

9. APPLICATION REVIEW

9.1. Review Process

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

Applications recommended by the Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

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

9.1.1. Confidentiality of Review

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

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

By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT’s Administrative Rules, [chapter 703, section 703.9](#).

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant’s behalf) and the following individuals: an Oversight Committee member, a PIC member, or a Scientific Review Council member.

Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of the Department of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

9.2. Review Criteria

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

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

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

Questions to be considered by the reviewers are as follows:

Quality of the Candidate: Has the candidate demonstrated extraordinary accomplishments during his or her initial years of independent research? Does the candidate show promise of making important contributions with significant impact to basic, translational, clinical, or population-based cancer research in the future? Has the candidate demonstrated strong self-direction, motivation, and commitment for transformative cancer research?

Scientific Merit of Proposed Research: Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility? Will it have a significant impact on the field of cancer research? Will it expand the boundaries of cancer research beyond traditional methodology by incorporating novel and interdisciplinary techniques?

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

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

10. KEY DATES

RFA

RFA Release June 21, 2018

Application Receipt and Review Timeline

| Application Receipt System opens 7 AM CT | Application Receipt | Anticipated Application Review | Application Closing Date |
|---|---|--|--------------------------|
| June 21, 2018 | Continuous – dependent upon available funding | Monthly by the 15 th day of the month | June 20, 2019 |

11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT’s electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT’s Administrative Rules, which are available at www.cprit.texas.gov. Applicants are advised to review CPRIT’s Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [chapter 703, sections 703.10, 703.12](#).

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

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

these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at www.cprit.texas.gov.

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

13. CONTACT INFORMATION

13.1. Helpdesk

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

Hours of operation: Monday through Friday, 8 AM to 6 PM central time

Tel: 866-941-7146

Email: Help@CPRITGrants.org

13.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov

Third Party Observer Reports



Cancer Prevention and Research Institute of Texas (CPRIT)
Recruitment Review Panel-19.7 Peer Review Meeting
(REC 19.7)
Observation Report

Report No. 2019-02-14 REC_19.7
Program Name: Academic Research
Panel Name: Recruitment Review Panel -19.7 Peer Review Meeting (REC_19.7)
Panel Date: 02/14/2019
Report Date: 02-15-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel-19.7 Peer Review Meeting (REC_19.7) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on February 14, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

- The panel focused on the established scoring criteria and/or making recommendations.

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed.
- Panelists: One (1) panel chair and Five (5) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

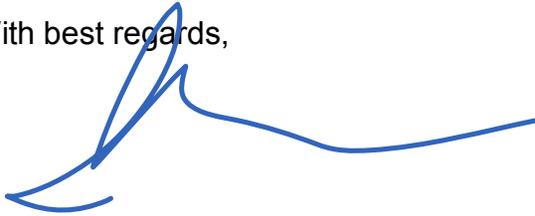
CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the text 'With best regards,'.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Recruitment Review Panel 19.8 (REC 19.8)

Observation Report

Report No. 2019-03-14 REC_19.8
Program Name: Academic Research
Panel Name: Recruitment Review Panel 19.8 (REC_19.8)
Panel Date: 03-14-2019
Report Date: 03-15-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel 19.8 (REC_19.8) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on march 14, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed
- Panelists: One (1) panel chair and six (6) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were one (1) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the closing text.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney



Cancer Prevention and Research Institute of Texas (CPRIT)

Recruitment Review Panel-19.9 (REC 19.9)

Observation Report

Report No. 2019-04-11 REC 19.9
Program Name: Academic Research
Panel Name: Recruitment Review Panel-19.9 (REC_19.9)
Panel Date: 04-11-2019
Report Date: 04-12-2019

BACKGROUND

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

INTRODUCTION

The subject of this report is the Recruitment Review Panel-19.9 (REC_19.9) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on April 11, 2019.

PANEL OBSERVATION OBJECTIVES AND SCOPE

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

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

SUMMARY OF OBSERVATION RESULTS

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed
- Panelists: One (1) panel chair and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COIs identified prior to and/or during the meeting.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

CONCLUSION

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the text 'With best regards,'.

Mara Ash, CIA, CGAP, CGFM, CMRA
Senior Partner
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer
Cameron Eckel, Attorney

Conflicts of Interest Disclosure

Conflicts of Interest Disclosure
Academic Research Recruitment 19.7-9 Applications
(Academic Research Recruitment Cycle 19.7-9 Awards Announced at May 15, 2019,
Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 19.7-9 include *Recruitment of Established Investigators, Recruitment of First-Time Tenure-Track Faculty Members, 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 General Dynamics Information Technology, CPRIT’s third party grant administrator, and by CPRIT.

| Application ID | Applicant/PI | Institution | Conflict Noted |
|---|---------------------|--|--------------------------------|
| Applications considered by the PIC and Oversight Committee | | | |
| RR190050 | Draetta, Gulio | The University of Texas M. D. Anderson Cancer Center | Jones, Peter; Montgomery, Will |
| RR190034 | Thiele, Dwain | The University of Texas Southwestern Medical Center | Montgomery, Will |
| RR190037 | Thiele, Dwain | The University of Texas Southwestern Medical Center | Montgomery, Will |
| RR190043 | Kuspa, Adam | Baylor College of Medicine | Montgomery, Will |
| RR190046 | Rossky, Peter J | Rice University | Montgomery, Will |
| RR190052 | DesRoches, Reginald | Rice University | Montgomery, Will |
| RR190054 | Kuspa, Adam | Baylor College of Medicine | Montgomery, Will |
| RR190056 | DesRoches, Reginald | Rice University | Montgomery, Will |
| RR190058 | Lee, W. P. Andrew | The University of Texas Southwestern Medical Center | Montgomery, Will |

| Application ID | Applicant/PI | Institution | Conflict Noted |
|--|---------------------|---|-----------------------|
| RR190059 | Lee, W. P. Andrew | The University of Texas Southwestern Medical Center | Montgomery, Will |
| Applications not considered by the PIC or Oversight Committee | | | |
| No conflicts reported. | | | |

De-Identified Overall Evaluation Scores

Recruitment of Rising Stars

Academic Research Recruitment Cycles 19.7-19.9

| Application ID | Final Overall Evaluation Score |
|----------------|--------------------------------|
| RR190038** | 1.2 |
| RR190058* | 2.0 |
| RR190050* | 2.6 |
| g | 3.2 |
| h | 3.5 |
| i | 3.8 |
| j | 4.0 |
| k | 4.3 |
| l | 4.4 |

* Recommended for funding.

** Application was withdrawn by the applicant after the Scientific Review Council (SRC) voted to recommend the award but before the Program Integration Committee (PIC) meeting.

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

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

Director, San Diego
Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

rkolodner@ucsd.edu

San Diego Branch
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

April 22, 2019

Mr. Will Montgomery
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to wsmcprit@gmail.com

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

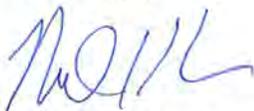
Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on February 14, 2019 (REC Cycle 19.7), March 14, 2019 (REC Cycle 19.8) and April 11, 2019 (REC Cycle 19.9) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$31,562,426.

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

Sincerely yours,



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

Attachment

| Rank | App ID | Candidate | Mechanism | Organization | Budget | Overall Score |
|------|-----------|----------------------------------|---|--|-------------|---------------|
| 1 | RR190034 | Samuel K. McBrayer, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 2 | RR190059 | Chengcheng Jin, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | The University of Texas Southwestern Medical Center | \$2,000,000 | 1.0 |
| 3 | RR190046 | Yang Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.0 |
| 4 | *RR190038 | Feng Yue, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$4,000,000 | 1.2 |
| 5 | RR190052 | Xiaojing J Gao, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 1.6 |
| 6 | RR190037 | Suzanne D. Conzen, M.D. | Recruitment of Established Investigators | The University of Texas Southwestern Medical Center | \$6,000,000 | 1.8 |
| 7 | RR190054 | Anthony M Mustoe, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Baylor College of Medicine | \$2,000,000 | 2.0 |
| 8 | RR190056 | Kevin J McHugh, Ph.D. | Recruitment of First-Time, Tenure-Track Faculty Members | Rice University | \$2,000,000 | 2.0 |
| 9 | RR190043 | Yong Li, Ph.D. | Recruitment of Established Investigators | Baylor College of Medicine | \$6,000,000 | 2.0 |
| 10 | RR190058 | Qing Zhang, Ph.D. | Recruitment of Rising Stars | The University of Texas Southwestern Medical Center | \$4,000,000 | 2.0 |
| 11 | RR190050 | Christina Dieli-Conwright, Ph.D. | Recruitment of Rising Stars | The University of Texas M. D. Anderson Cancer Center | \$3,562,426 | 2.6 |

*Note: #RR190038 withdrew application after SRC meeting but prior to Program Integration Committee meeting.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190034
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Samuel K. McBrayer, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 11 applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

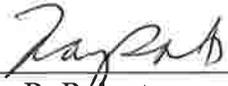
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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 <u>30th</u> day of <u>April</u> , 2019, by WAYNE R. ROBERTS. |
|  _____ Melanie Cleveland Notary Public, State of Texas |
|  |

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 10:19 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
 APPLICATION ID: RR190034
 APPLICATION TITLE: Nomination of Samuel K. McBrayer, Ph.D. for a CPRIT Recruitment of a First-Time Tenure-Track Faculty Member Award
 APPLICANT NAME: Thiele, Dwsain L.
 ORGANIZATION: The University of Texas Southwestern Medical Center
 PANEL NAME: Recruitment FY19 Cycle 7

| Category | Compliance Requirement | Information | Attestation Date |
|-----------------------------------|--|-------------|------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 08/06/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 12/21/2018 | 03/01/2019 |
| | CPRIT Application Receipt Cycle closed | 01/22/2019 | 03/01/2019 |
| | Date application submitted | 01/17/2019 | 03/01/2019 |
| | Method of submission | CARS | 03/01/2019 |
| | Within receipt period | YES | 03/01/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | NA | 03/01/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 03/01/2019 |
| | Assigned to primary reviewers | 02/04/2019 | 03/01/2019 |
| | Applicant notified of review panel assignment | NA | 03/01/2019 |
| | Primary Reviewer 1 COI signed | 01/25/2019 | 03/01/2019 |
| | Primary Reviewer 2 COI signed | 01/25/2019 | 03/01/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 02/08/2019 | 03/01/2019 |
| | Primary Reviewer 2 critique submitted | 02/12/2019 | 03/01/2019 |
| | COI indicated by non-primary reviewer | NONE | 03/01/2019 |
| | COI recused from participation | NA | 03/01/2019 |
| | Discussed at Peer Review Meeting | YES | 03/01/2019 |
| | Peer Review Meeting | 02/14/2019 | 03/01/2019 |
| | Post review statements signed | 02/19/2019 | 03/01/2019 |
| | Third Party Observer Report | 02/15/2019 | 02/18/2019 |
| | Score report delivered to CSO | 02/22/2019 | 03/01/2019 |
| Recommended for SRC review | YES | 03/01/2019 | |
| Final SRC Recommendation | COI indicated by SRC member | NONE | 03/01/2019 |
| | COI recused from participation | NA | 03/01/2019 |
| | SRC Meeting | 02/14/2019 | 03/01/2019 |
| | Third Party Observer Report | 02/15/2019 | 02/18/2019 |
| | Recommended for grant award | YES | 03/01/2019 |
| | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| PIC Review | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| | Recommended for grant award | YES | 04/30/2019 |
| Oversight Committee Approval | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donations made to CPRIT/foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| | Advance authority approved by Oversight Committee | NA | |
| Comments: | | | |
| Comment: | | | |
| No Comment | | | |

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190037
Recruitment of Established Investigators
Nomination of Suzanne D. Conzen, M.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received three applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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 April, 2019,
by WAYNE R. ROBERTS.


Melanie Cleveland
Notary Public, State of Texas

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 10:20 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of Established Investigators
 APPLICATION ID: RR190037
 APPLICATION TITLE: Nomination of Suzanne D. Conzen, M.D. for a CPRIT Recruitment of Established Investigators Award
 APPLICANT NAME: Thiele, Dwain L.
 ORGANIZATION: The University of Texas Southwestern Medical Center
 PANEL NAME: Recruitment FY19 Cycle 7

| Category | Compliance Requirement | Information | Anticipation Date |
|-----------------------------------|---|-------------|-------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 07/25/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 12/21/2018 | 03/01/2019 |
| | CPRIT Application Receipt Cycle closed | 01/22/2019 | 03/01/2019 |
| | Date application submitted | 01/18/2019 | 03/01/2019 |
| | Method of submission | CARS | 03/01/2019 |
| | Within receipt period | YES | 03/01/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | 01/25/2019 | 03/01/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 03/01/2019 |
| | Assigned to primary reviewers | 02/04/2019 | 03/01/2019 |
| | Applicant notified of review panel assignment | NA | 03/01/2019 |
| | Primary Reviewer 1 COI signed | 01/28/2019 | 03/01/2019 |
| | Primary Reviewer 2 COI signed | 01/25/2019 | 03/01/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 02/12/2019 | 03/01/2019 |
| | Primary Reviewer 2 critique submitted | 02/07/2019 | 03/01/2019 |
| | COI indicated by non-primary reviewer | NONE | 03/01/2019 |
| | COI recused from participation | NA | 03/01/2019 |
| | Discussed at Peer Review Meeting | YES | 03/01/2019 |
| | Peer Review Meeting | 02/14/2019 | 03/01/2019 |
| | Post review statements signed | 02/19/2019 | 03/01/2019 |
| | Third Party Observer Report | 02/15/2019 | 02/18/2019 |
| | Score report delivered to CSO | 02/22/2019 | 03/01/2019 |
| Recommended for SRC review | YES | 03/01/2019 | |
| Final SRC Recommendation | COI indicated by SRC member | NONE | 03/01/2019 |
| | COI recused from participation | NA | 03/01/2019 |
| | SRC Meeting | 02/14/2019 | 03/01/2019 |
| | Third Party Observer Report | 02/15/2019 | 02/18/2019 |
| | Recommended for grant award | YES | 03/01/2019 |
| | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| PIC Review | Candidate not accepted position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| | Recommended for grant award | YES | 04/30/2019 |
| Oversight Committee Approval | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| | Advance authority approved by Oversight Committee | NA | |

Comments:
 Comment:
 No Comment

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190043
Recruitment of Established Investigators
Nomination of Yong Li, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received three applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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."



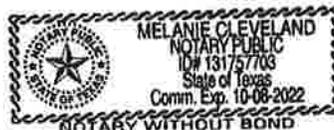
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 30th day of April, 2019, by WAYNE R. ROBERTS.



Melanie Cleveland
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 11:37 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of Established Investigators
 APPLICATION ID: RR190043
 APPLICATION TITLE: Established Investigator: Yong Li, Ph D
 APPLICANT NAME: Kuspa, Adam
 ORGANIZATION: Baylor College of Medicine
 PANEL NAME: Recruitment FY19 Cycle 9

| Category | Compliance Requirement | Information | Attestation Date |
|-----------------------------------|---|-------------|------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 07/25/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 02/21/2019 | 04/16/2019 |
| | CPRIT Application Receipt Cycle closed | 03/20/2019 | 04/16/2019 |
| | Date application submitted | 03/20/2019 | 04/16/2019 |
| | Method of submission | CARS | 04/16/2019 |
| | Within receipt period | YES | 04/16/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | NA | 04/16/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 04/16/2019 |
| | Assigned to primary reviewers | 03/29/2019 | 04/16/2019 |
| | Applicant notified of review panel assignment | NA | 04/16/2019 |
| | Primary Reviewer 1 COI signed | 03/25/2019 | 04/16/2019 |
| | Primary Reviewer 2 COI signed | 03/25/2019 | 04/16/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/02/2019 | 04/16/2019 |
| | Primary Reviewer 2 critique submitted | 04/07/2019 | 04/16/2019 |
| | COI indicated by non-primary reviewer | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | Discussed at Peer Review Meeting | YES | 04/16/2019 |
| | Peer Review Meeting | 04/11/2019 | 04/16/2019 |
| | Post review statements signed | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Score report delivered to CSO | 04/16/2019 | 04/16/2019 |
| Recommended for SRC review | YES | 04/16/2019 | |
| Final SRC Recommendation | COI indicated by SRC member | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | SRC Meeting | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Recommended for grant award | YES | 04/16/2019 |
| | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| PIC Review | Candidate not accepted position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| | Recommended for grant award | YES | 04/30/2019 |
| Oversight Committee Approval | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| | Advance authority approved by Oversight Committee | NA | |

Comment:
 Comment:
 No Comment

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190046
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Yang Gao, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 11 applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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."



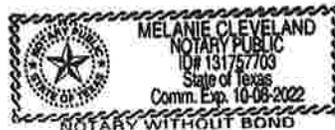
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 30th day of April, 2019,
by WAYNE R. ROBERTS.



Melanie Cleveland
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 11:37 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
 APPLICATION ID: RR190046
 APPLICATION TITLE: Recruitment of First-Time, Tenure-Track Faculty Member- Dr. Yang Gao
 APPLICANT NAME: Rossky, Peter J
 ORGANIZATION: Rice University
 PANEL NAME: Recruitment FY19 Cycle 9

| Category | Compliance Requirement | Information | Anticipation Date |
|---|---|-------------|-------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 08/06/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 02/21/2019 | 04/16/2019 |
| | CPRIT Application Receipt Cycle closed | 03/20/2019 | 04/16/2019 |
| | Date application submitted | 03/20/2019 | 04/16/2019 |
| | Method of submission | CARS | 04/16/2019 |
| | Within receipt period | YES | 04/16/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | NA | 04/16/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 04/16/2019 |
| | Assigned to primary reviewers | 03/29/2019 | 04/16/2019 |
| | Applicant notified of review panel assignment | NA | 04/16/2019 |
| | Primary Reviewer 1 COI signed | 03/25/2019 | 04/16/2019 |
| | Primary Reviewer 2 COI signed | 03/27/2019 | 04/16/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/01/2019 | 04/16/2019 |
| | Primary Reviewer 2 critique submitted | 04/10/2019 | 04/16/2019 |
| | COI indicated by non-primary reviewer | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | Discussed at Peer Review Meeting | YES | 04/16/2019 |
| | Peer Review Meeting | 04/11/2019 | 04/16/2019 |
| | Post review statements signed | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Score report delivered to CSO | 04/16/2019 | 04/16/2019 |
| Recommended for SRC review | YES | 04/16/2019 | |
| Final SRC Recommendation | COI indicated by SRC member | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | SRC Meeting | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Recommended for grant award | YES | 04/16/2019 |
| PIC Review | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| | Candidate not accepted as a prof. tenure track position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| Oversight Committee Approval | Recommended for grant award | YES | 04/30/2019 |
| | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| Advance authority approved by Oversight Committee | NA | | |

Comments:

Comment

No Comment

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190050
Recruitment of Rising Stars
Nomination of Christina Dieli-Conwright, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received nine applications for cycles 19.7 through 19.9 in response to this RFA, including one application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

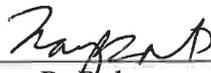
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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 <u>30th</u> day of <u>April</u> , 2019, by WAYNE R. ROBERTS. |
|  _____ Melanie Cleveland Notary Public, State of Texas |
|  |

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 10:32 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of Rising Stars
 APPLICATION ID: RR190050
 APPLICATION TITLE: Recruitment of Rising Stars- Christina Dieli-Comwright
 APPLICANT NAME: Dnretta, Gullio
 ORGANIZATION: The University of Texas M D Anderson Cancer Center
 PANEL NAME: Recruitment FY19 Cycle 8

| Category | Compliance Requirement | Information | Attestation Date |
|-----------------------------------|--|-------------|------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 07/25/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 01/23/2019 | 03/25/2019 |
| | CPRIT Application Receipt Cycle closed | 02/20/2019 | 03/25/2019 |
| | Date application submitted | 02/20/2019 | 03/28/2019 |
| | Method of submission | CARS | 03/28/2019 |
| | Within receipt period | YES | 03/28/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | NA | 03/28/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 03/28/2019 |
| | Assigned to primary reviewers | 03/04/2019 | 03/28/2019 |
| | Applicant notified of review panel assignment | NA | 03/25/2019 |
| | Primary Reviewer 1 COI signed | 02/26/2019 | 03/28/2019 |
| | Primary Reviewer 2 COI signed | 02/25/2019 | 03/28/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 03/06/2019 | 03/28/2019 |
| | Primary Reviewer 2 critique submitted | 03/12/2019 | 03/28/2019 |
| | COI indicated by non-primary reviewer | Peter Jones | 03/28/2019 |
| | COI recused from participation | YES | 03/28/2019 |
| | Discussed at Peer Review Meeting | YES | 03/28/2019 |
| | Peer Review Meeting | 03/14/2019 | 03/28/2019 |
| | Post review statements signed | 03/15/2019 | 03/28/2019 |
| | Third Party Observer Report | 03/15/2019 | 03/29/2019 |
| | Score report delivered to CSO | 03/22/2019 | 03/28/2019 |
| Recommended for SRC review | YES | 03/28/2019 | |
| Final SRC Recommendation | COI indicated by SRC member | Peter Jones | 03/28/2019 |
| | COI recused from participation | YES | 03/28/2019 |
| | SRC Meeting | 03/14/2019 | 03/28/2019 |
| | Third Party Observer Report | 03/15/2019 | 03/29/2019 |
| | Recommended for grant award | YES | 03/28/2019 |
| | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| PIC Review | Candidate not accepted post funding date to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| | Recommended for grant award | YES | 04/30/2019 |
| Oversight Committee Approval | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| | Advance authority approved by Oversight Committee | NA | |

Comments:
 Comment:
 No Comment

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190052
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Xiaojing J. Gao, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 11 applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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."



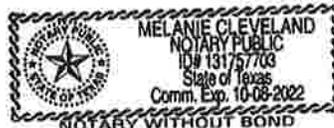
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 30th day of April, 2019,
by WAYNE R. ROBERTS.



Melanie Cleveland
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 11:37 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
 APPLICATION ID: RR190052
 APPLICATION TITLE: Recruitment of First-Time, Tenure-Track Faculty Member - Dr. Xiaojing Gao
 APPLICANT NAME: DesRoches, Reginald
 ORGANIZATION: Rice University
 PANEL NAME: Recruitment FY19 Cycle 9

| Category | Description | Information | Attestation Date |
|---------------------------------------|--|-------------|------------------|
| Pre-Receipt | Compliance Requirement | 06/11/2018 | 09/28/2018 |
| | RFA Approved by CSO | | |
| | RFA published in Texas.gov eGrants | 08/06/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 02/21/2019 | 04/16/2019 |
| | CPRIT Application Receipt Cycle closed | 03/20/2019 | 04/16/2019 |
| | Date application submitted | 03/20/2019 | 04/16/2019 |
| | Method of submission | CARS | 04/16/2019 |
| Receipt, Referral, and Assignment | Within receipt period | YES | 04/16/2019 |
| | Administrative review notification | 03/26/2019 | 04/16/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 04/16/2019 |
| | Assigned to primary reviewers | 03/29/2019 | 04/16/2019 |
| | Applicant notified of review panel assignment | NA | 04/16/2019 |
| | Primary Reviewer 1 COI signed | 03/25/2019 | 04/16/2019 |
| Peer Review Meeting | Primary Reviewer 2 COI signed | 03/27/2019 | 04/16/2019 |
| | Primary Reviewer 1 critique submitted | 04/08/2019 | 04/16/2019 |
| | Primary Reviewer 2 critique submitted | 04/11/2019 | 04/16/2019 |
| | COI indicated by non-primary reviewer | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | Discussed at Peer Review Meeting | YES | 04/16/2019 |
| | Peer Review Meeting | 04/11/2019 | 04/16/2019 |
| | Post review statements signed | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| Final SRC Recommendation | Score report delivered to CSO | 04/16/2019 | 04/16/2019 |
| | Recommended for SRC review | YES | 04/16/2019 |
| | COI indicated by SRC member | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | SRC Meeting | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| PIC Review | Recommended for grant award | YES | 04/16/2019 |
| | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| | Candidate not accepted as a post-tenure track position prior to SRC date | YES | 01/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| Oversight Committee Approval | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| | Recommended for grant award | YES | 04/30/2019 |
| | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| Award approved by Oversight Committee | NO | | |
| Comments | Authority to act on our funds requested | NA | |
| | Advance authority approved by Oversight Committee | NA | |
| No Comment | | | |



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190054
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Anthony M. Mustoe, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 11 applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

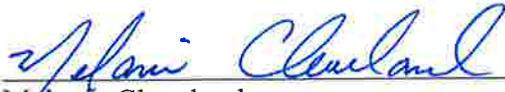
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 April, 2019, by WAYNE R. ROBERTS.



Melanie Cleveland
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 11:37 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
 APPLICATION ID: RR190054
 APPLICATION TITLE: First Time Tenure-Track: Dr. Anthony (Tony) Mustoe
 APPLICANT NAME: Kuspa, Adam
 ORGANIZATION: Baylor College of Medicine
 PANEL NAME: Recruitment FY19 Cycle 9

| Category | Compliance Requirement | Information | Attestation Date |
|-----------------------------------|--|-------------|------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 08/06/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 02/21/2019 | 04/16/2019 |
| | CPRIT Application Receipt Cycle closed | 03/20/2019 | 04/16/2019 |
| | Date application submitted | 03/20/2019 | 04/16/2019 |
| | Method of submission | CARS | 04/16/2019 |
| | Within receipt period | YES | 04/16/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | NA | 04/16/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 04/16/2019 |
| | Assigned to primary reviewers | 03/29/2019 | 04/16/2019 |
| | Applicant notified of review panel assignment | NA | 04/16/2019 |
| | Primary Reviewer 1 COI signed | 03/27/2019 | 04/16/2019 |
| | Primary Reviewer 2 COI signed | 03/25/2019 | 04/16/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/09/2019 | 04/16/2019 |
| | Primary Reviewer 2 critique submitted | 04/08/2019 | 04/16/2019 |
| | COI Indicated by non-primary reviewer | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | Discussed at Peer Review Meeting | YES | 04/16/2019 |
| | Peer Review Meeting | 04/11/2019 | 04/16/2019 |
| | Post review statements signed | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Score report delivered to CSO | 04/16/2019 | 04/16/2019 |
| Recommended for SRC review | YES | 04/16/2019 | |
| Final SRC Recommendation | COI indicated by SRC member | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | SRC Meeting | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Recommended for grant award | YES | 04/16/2019 |
| PIC Review | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| Recommended for grant award | YES | 04/30/2019 | |
| Oversight Committee Approval | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| | Advance authority approved by Oversight Committee | NA | |

Comments
 Comment
 No Comment

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190056
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Kevin J. McHugh, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 11 applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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."



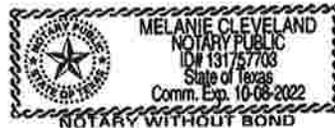
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 30th day of April, 2019,
by WAYNE R. ROBERTS.



Melanie Cleveland
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 11:40 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
 APPLICATION ID: RR190056
 APPLICATION TITLE: Recruitment of First-Time, Tenure-Track Faculty Member - Dr. Kevin McHugh
 APPLICANT NAME: DesRoches, Reginald
 ORGANIZATION: Rice University
 PANEL NAME: Recruitment FY19 Cycle 9

| Category | Description | Information | Attestation Date |
|---|--|--|------------------|
| Pre-Receipt | Compliance Requirement | RFA Approved by CSO | 06/11/2018 |
| | | RFA published in Texas.gov eGrants | 08/06/2018 |
| | | CPRIT Application Receipt Cycle opened | 02/21/2019 |
| | | CPRIT Application Receipt Cycle closed | 03/20/2019 |
| | | Date application submitted | 03/20/2019 |
| | | Method of submission | CARS |
| | | Within receipt period | YES |
| Receipt, Referral, and Assignment | Administrative review notification | | 03/26/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 04/16/2019 |
| | Assigned to primary reviewers | | 03/29/2019 |
| | Applicant notified of review panel assignment | NA | 04/16/2019 |
| | Primary Reviewer 1 COI signed | | 03/25/2019 |
| | Primary Reviewer 2 COI signed | | 03/25/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | | 04/09/2019 |
| | Primary Reviewer 2 critique submitted | | 04/08/2019 |
| | COI indicated by non-primary reviewer | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | Discussed at Peer Review Meeting | YES | 04/16/2019 |
| | Peer Review Meeting | | 04/11/2019 |
| | Post review statements signed | | 04/11/2019 |
| | Third Party Observer Report | | 04/12/2019 |
| | Score report delivered to CSO | | 04/16/2019 |
| Final SRC Recommendation | Recommended for SRC review | YES | 04/16/2019 |
| | COI indicated by SRC member | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | SRC Meeting | | 04/11/2019 |
| | Third Party Observer Report | | 04/12/2019 |
| | Recommended for grant award | YES | 04/16/2019 |
| PIC Review | SRC Chair Notification to PIC and OC | | 04/23/2019 |
| | Candidate not accepted as a first-time tenure-track position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | | 04/30/2019 |
| Oversight Committee Approval | Recommended for grant award | YES | 04/30/2019 |
| | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| Advance authority approved by Oversight Committee | NA | | |

Comments:
 Comment:
 No Comment

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190058
Recruitment of Rising Stars
Nomination of Qing Zhang, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received nine applications for cycles 19.7 through 19.9 in response to this RFA, including one application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

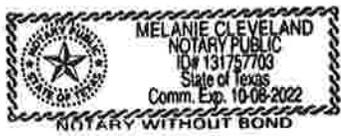
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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 <u>30th</u> day of <u>April</u> , 2019, by WAYNE R. ROBERTS. |
|  _____ Melanie Cleveland Notary Public, State of Texas |
|  |

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 11:37 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of Rising Stars
 APPLICATION ID: RR190058
 APPLICATION TITLE: Nomination of Qing Zhang, Ph.D. for a CPRIT Rising Stars Award
 APPLICANT NAME: Lee, W. P. Andrew
 ORGANIZATION: The University of Texas Southwestern Medical Center
 PANEL NAME: Recruitment FY19 Cycle 9

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 07/25/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 02/21/2019 | 04/16/2019 |
| | CPRIT Application Receipt Cycle closed | 03/20/2019 | 04/16/2019 |
| | Date application submitted | 03/15/2019 | 04/16/2019 |
| | Method of submission | CARS | 04/16/2019 |
| | Within receipt period | YES | 04/16/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | NA | 04/16/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 04/16/2019 |
| | Assigned to primary reviewers | 03/29/2019 | 04/16/2019 |
| | Applicant notified of review panel assignment | NA | 04/16/2019 |
| | Primary Reviewer 1 COI signed | 03/27/2019 | 04/16/2019 |
| | Primary Reviewer 2 COI signed | 03/28/2019 | 04/16/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/10/2019 | 04/16/2019 |
| | Primary Reviewer 2 critique submitted | 04/09/2019 | 04/16/2019 |
| | COI indicated by non-primary reviewer | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | Discussed at Peer Review Meeting | YES | 04/16/2019 |
| | Peer Review Meeting | 04/11/2019 | 04/16/2019 |
| | Post review statements signed | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Score report delivered to CSO | 04/16/2019 | 04/16/2019 |
| Final SRC Recommendation | Recommended for SRC review | YES | 04/16/2019 |
| | COI indicated by SRC member | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | SRC Meeting | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Recommended for grant award | YES | 04/16/2019 |
| PIC Review | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| | Candidate not accepted, position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| Oversight Committee Approval | Recommended for grant award | YES | 04/30/2019 |
| | CEO Notification to Oversight Committee | NA | |
| | COI indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| Advance authority approved by Oversight Committee | NA | | |

Comments:

No Comment

CPRIT retains the identity of the attesting party.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR190059
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Chengcheng Jin, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 11 applications for cycles 19.7 through 19.9 in response to this RFA. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2019: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3); and Dr. Becky Garcia, Chief Prevention Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(1). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2019 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."



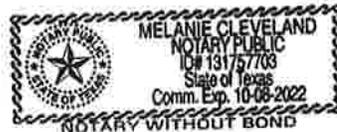
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 30th day of April, 2019,
by WAYNE R. ROBERTS.



Melanie Cleveland
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 04/30/2019 11:37 AM

FY: 2019
 CYCLE: 1
 PROGRAM: Recruitment
 MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
 APPLICATION ID: RR190059
 APPLICATION TITLE: Nomination of Chengheng Jin, Ph.D. for a CPRIT First-Time Tenure-Track Faculty Member Award
 APPLICANT NAME: Lee, W. P. Andrew
 ORGANIZATION: The University of Texas Southwestern Medical Center
 PANEL NAME: Recruitment FY19 Cycle 9

| Category | Compliance Requirement | Information | Attestation Date |
|---|--|-------------|------------------|
| Pre-Receipt | RFA Approved by CSO | 06/11/2018 | 09/28/2018 |
| | RFA published in Texas.gov eGrants | 08/06/2018 | 09/28/2018 |
| | CPRIT Application Receipt Cycle opened | 02/21/2019 | 04/16/2019 |
| | CPRIT Application Receipt Cycle closed | 03/20/2019 | 04/16/2019 |
| | Date application submitted | 03/20/2019 | 04/16/2019 |
| | Method of submission | CARS | 04/16/2019 |
| | Within receipt period | YES | 04/16/2019 |
| Receipt, Referral, and Assignment | Administrative review notification | NA | 04/16/2019 |
| | Donation(s) made to CPRIT / foundation | NO | 04/16/2019 |
| | Assigned to primary reviewers | 03/29/2019 | 04/16/2019 |
| | Applicant notified of review panel assignment | NA | 04/16/2019 |
| | Primary Reviewer 1 COI signed | 03/25/2019 | 04/16/2019 |
| | Primary Reviewer 2 COI signed | 03/25/2019 | 04/16/2019 |
| Peer Review Meeting | Primary Reviewer 1 critique submitted | 04/09/2019 | 04/16/2019 |
| | Primary Reviewer 2 critique submitted | 04/08/2019 | 04/16/2019 |
| | COI indicated by non-primary reviewer | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | Discussed at Peer Review Meeting | YES | 04/16/2019 |
| | Peer Review Meeting | 04/11/2019 | 04/16/2019 |
| | Post review statements signed | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Score report delivered to CSO | 04/16/2019 | 04/16/2019 |
| Final SRC Recommendation | Recommended for SRC review | YES | 04/16/2019 |
| | COI indicated by SRC member | NONE | 04/16/2019 |
| | COI recused from participation | NA | 04/16/2019 |
| | SRC Meeting | 04/11/2019 | 04/16/2019 |
| | Third Party Observer Report | 04/12/2019 | 04/16/2019 |
| | Recommended for grant award | YES | 04/16/2019 |
| PIC Review | SRC Chair Notification to PIC and OC | 04/23/2019 | 04/24/2019 |
| | Candidate not accepted asst. prof. tenure track position prior to SRC date | YES | 04/30/2019 |
| | COI indicated by PIC member | NONE | 04/30/2019 |
| | COI recused from participation | NA | 04/30/2019 |
| | PIC Review Meeting | 04/30/2019 | 04/30/2019 |
| Oversight Committee Approval | Recommended for grant award | YES | 04/30/2019 |
| | CEO Notification to Oversight Committee | NA | |
| | COI Indicated by Oversight Committee member | NA | |
| | COI Recused from participation | NA | |
| | Donation(s) made to CPRIT / foundation | NA | |
| | Presented to CPRIT Oversight Committee | NA | |
| | Award approved by Oversight Committee | NO | |
| | Authority to advance funds requested | NA | |
| Advance authority approved by Oversight Committee | NA | | |

Comments:
 Comment
 No Comment