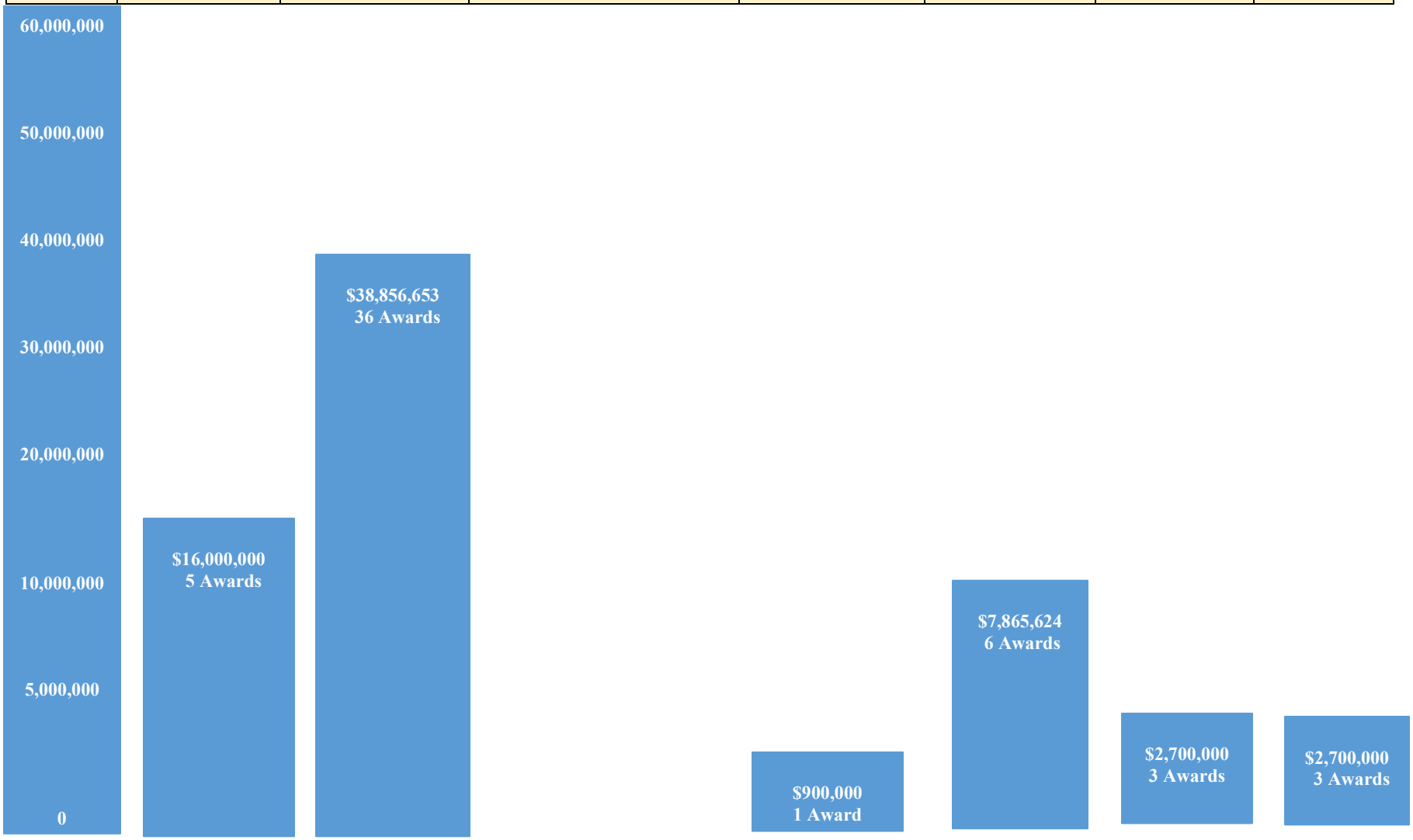
CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

Proposed Grant Awards

February 19, 2020

Attachment #1

*Academic Research Program Priorities Addressed by Recommended Awards (*Some grant awards address more than one program priority and are double counted.)							
Scale	Recruitment of outstanding cancer researchers to Texas	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	Population Disparities



Academic Research

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE

FROM: JAMES WILLSON, M.D., CHIEF SCIENTIFIC OFFICER

SUBJECT: ACADEMIC RESEARCH FY2020 REVIEW CYCLE 1; AND RECRUITMENT AWARD RECOMMENDATIONS FY2020, CYCLES 20.4, 20.5 AND 20.6.

DATE: FEBRUARY 19, 2020

The Scientific Review Committee (SRC) recommendations for FY20.1 and recruitment cycles 20.4, 20.5 and 20.6 included **54** awards from seven grant mechanisms totaling **$65,554,090,** as displayed in Table 1.

Because the SRC recommendations exceed the funds that the Program has budgeted to fund Academic Research Program awards for the second quarter of 2020, the Program Integration Committee voted to defer action on **13 applications** totaling **$12,835,005** recommended by the SRC with overall scores of 2.8 and higher. Therefore, the Program Integration Committee recommends **41 awards** and award funding of **$52,719,085,** also presented in Table 1, to the Oversight Committee. Note applications are ranked by overall score.

Table 1:

Grant Mechanism	SRC Recommendations		Program Integration Committee	
	Awards	Funding	Awards	Funding
Individual Investigator Research Awards	36	$32,039,552	28	$25,183,569
Individual Investigator Research Awards for Childhood and Adolescent Cancers	6	$7,376,570	4	$4,977,911
Individual Investigator Research Awards for Clinical Translation	4	$6,867,100	3	$5,667,103
Individual Investigator Research Awards for Prevention and Early Detection	3	$3,270,868	1	$890,502
Recruitment of Established Investigators	1	$6,000,000	1	$6,000,000
Recruitment of Rising Stars	1	$4,000,000	1	$4,000,000
Recruitment of First-Time, Tenure Track Faculty Members	3	$6,000,000	3	$6,000,000
Total	**54**	**$65,554,090**	**41**	**$52,719,085**

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, a broad range of innovative, investigator-initiated research projects, computational biology and analytic methods, disparities, childhood cancers and hepatocellular cancer. The program priorities addressed by the proposed slate of awards are displayed in Table 2 and Attachment 1.

Table 2

Program Priorities Addressed by Grant Recommendations		
# Awards*	**Program Priorities**	**Funding***
5	Recruitment of outstanding cancer researchers to Texas	$16,000,000
36	A broad range of innovative, investigator-initiated research projects	$36,719,085
1	Computational biology and analytic methods	$900,000
6	Childhood Cancers	$7,865,624
3	Disparities	$2,700,000
3	Hepatocellular Cancer	$2,700,000
*Some grant awards address more than one program priority and are double counted.		

1.Individual Investigator Research Awards (RFA R-20.1 IIRA) Slate

Peer Review Recommendations:
The Scientific Review Council recommended 36 Individual Investigator Research Awards (IIRA) totaling $32,039,552. The Program Integration Committee recommends funding 28 IIRAs totaling $25,183,569 and deferring 8 IIRAs with overall scores of 2.8 or higher totaling $6,855,983 to August 2020 should funds be available.

Purpose of Individual Investigator Research Awards:
Supports applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Competitive renewal applications are accepted.

Individual Investigator Research Awards Funding Levels:
Up to $300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.

Table 3: Individual Investigator Research Awards Recommended for Funding

ID	Meeting Overall Score	Application Title	PI	Degree	PI Organization	Rec. Budget	Priority Met
RP200423	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance	Liuqing Yang.	PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	Hepatocellular carcinoma. Disparities
RP200093	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	PhD	The University of Texas Health Science Center at Houston	$900,000	
RP200081	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	MD, PhD	Texas A&M University System Health Science Center	$900,000	Hepatocellular carcinoma. Disparities
RP200395	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court.	PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	Computational biology and analytic methods
RP200233	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	PhD	The University of Texas at Dallas	$900,000	
RP200120	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	
RP200023	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	MD, PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	
RP200271	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I–Compatible Peptides for Cancer Immunotherapy	Zhen Fan	MD	The University of Texas M. D. Anderson Cancer Center	$900,000	
RP200401	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Grott	MD	The University of Texas M. D. Anderson Cancer Center	$900,000	
RP200170	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	MD, PhD	The University of Texas Southwestern Medical Center	$900,000	
RP200467	2.0	SREBP-2–Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	MD, PhD	The University of Texas Southwestern Medical Center	$900,000	
RP200197	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	PhD	The University of Texas Southwestern Medical Center	$900,000	Hepatocellular carcinoma. Disparities

RP200223	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	PhD	The University of Texas M. D. Anderson Cancer Center	$887,713	Childhood Cancers/Medulloblastoma
RP200021	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	PhD	The University of Texas at Dallas	$900,000	
RP200402	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	PhD	Baylor College of Medicine	$899,847	
RP200390	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	PhD	The University of Texas M. D. Anderson Cancer Center	$898,872	
RP200284	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	PhD	The University of Texas Southwestern Medical Center	$899,959	
RP200235	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	MD, PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	
RP200150	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	MD, PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	
RP200452	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	PhD	Texas A&M Engineering Experiment Station	$900,000	
RP200315	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	
RP200443	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	MD, PhD	Baylor College of Medicine	$897,527	
RP200456	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	PhD	The University of Texas Southwestern Medical Center	$899,651	
RP200287	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	MD, PhD	The University of Texas M. D. Anderson Cancer Center	$900,000	

RP200181	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	PhD, MBA	The University of Texas Health Science Center at Houston	$900,000	
RP200047	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	PhD, MB, B Chir	The University of Texas Health Science Center at Houston	$900,000	
RP200118	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	PhD	The University of Texas Southwestern Medical Center	$900,000	
RP200439	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	PhD	Baylor College of Medicine	$900,000	Disparities

* All Individual Investigator Research projects address the "A broad range of innovative, investigator-initiated research projects" priority.

2. Individual Investigator Research Awards for Cancer in Children and Adolescents (RFA R-20.1 IIRACCA) Slate

Peer Review Recommendations:
The Scientific Review Council recommended 7 Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA), totaling $7,376,570. The Program Integration Committee recommends funding 4 IIRACAs totaling $4,977,911 and deferring 2 IIRACCAs with overall scores of 2.8 and higher totaling $2,398,659 to August 2020 should funds be available

Purpose of Individual Investigator Research Awards for Cancer in Children and Adolescents:
Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Competitive renewal applications accepted.

Individual Investigator Research Awards for Cancer in Children and Adolescents Funding Levels:
Up to $300,000 per year. Applicants that plan on conducting a clinical trial as part of the project may request up to $500,000 in total costs. Exceptions permitted if extremely well justified; maximum duration: 4 years.

Table 4: Individual Investigator Research Awards for Cancer in Children and Adolescents Recommended for Funding

ID	Meeting Overall Score	Application Title	PI	Degree	PI Organization	Rec. Budget	Priority Met
RP200103	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	PhD	The University of Texas Southwestern Medical Center	$1,137,104	Childhood Cancer/ Sarcoma
RP200110	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	PhD	The University of Texas Health Science Center at San Antonio	$1,200,000	Childhood Cancer/Osteo sarcoma
RP200381	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	MD	The University of Texas M. D. Anderson Cancer Center	$1,444,593	Childhood Cancer/Sarcoma
RP200432	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	MD, PhD	Texas Tech University Health Sciences Center	$1,196,214	Childhood Cancer/Neurobl astoma

*All Individual Investigator Research projects address the "A broad range of innovative, investigator-initiated research projects" priority.

3. Individual Investigator Research Awards for Clinical Translation (RFA R-20.1 IIRACT) SLATE

Peer Review Recommendations:
The Scientific Review Council recommended 4 Individual Investigator Research Awards for Clinical Translation. Due to the limits of funding for Fiscal Year 2020, the Program Integration Committee Program recommends funding 3 IIRACTs totaling $5,667,103 and deferring 1 IIRACT with overall score of 2.8 and higher totaling $1,199,997 to August 2020 should funds be available.

Purpose of Individual Investigator Research Awards for Clinical Translation:
Supports applications which propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known. Areas of interest include clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices.

Individual Investigator Research Awards for Clinical Translation Funding Levels:
Up to $400,000 per year. Maximum duration: 3 years. Applicants that plan on conducting a clinical trial as part of the project may request up to $600,000 in total costs and a maximum duration of 4 years. Exceptions permitted if extremely well justified.

Table 5: Individual Investigator Research Awards for Clinical Translation Recommended for Funding

ID	Meeting Overall Score	Application Title	PI	Degree	PI Organization	Rec. Budget	Priority Met
RP200173	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	Florencia McAllister	MD	The University of Texas M. D. Anderson Cancer Center	$2,067,105	
RP200369	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	MD, PhD	The University of Texas M. D. Anderson Cancer Center	$1,200,000	
RP200356	2.0	Circulating Tumor DNA–Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	MD, MS	The University of Texas M. D. Anderson Cancer Center	$2,399,998	

* All Individual Investigator Research projects address the "A broad range of innovative, investigator-initiated research projects" priority.

4. Individual Investigator Research Awards for Prevention and Early Detection (RFA R-20.1 IIRAP) SLATE

Peer Review Recommendations:
The Scientific Review Council recommended 3 Individual Investigator Research Award for Prevention and Early Detection, totaling $3,270,868. The Program Integration Committee recommends funding 1 IIRAP totaling $890,502 and deferring 2 IIRAP with overall score of 2.8 and higher totaling $2,380,366 to August 2020 should funds be available

Purpose of Individual Investigator Research Awards for Prevention and Early Detection:
Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, early-stage progression, and/or early detection of cancer. Research may be laboratory-, clinical-, or population- based, and may include behavioral/intervention, dissemination or health services/outcomes research to reduce cancer incidence or promote early detection. Competitive renewal applications accepted.

Individual Investigator Research Awards for Prevention and Early Detection Funding Levels:
Up to of $300,000 per year for laboratory and clinical research; Up to $500,000 per year for population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.

Table 6: Individual Investigator Research Awards for Prevention and Early Detection Recommended for Funding

ID	Meeting Overall Score	Application Title	PI	Degree	PI Organization	Rec. Budget	Priority Met
RP200409	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	PhD	University of Houston	$890,502	

* All Individual Investigator Research projects address the "A broad range of innovative, investigator-initiated research projects" priority.

5. RECRUITMENT OF ESTABLISHED INVESTIGATORS SLATE FY20.4, FY20.5 and FY20.6

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

Purpose of Recruitment of Established Investigators Awards: The aim is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.

Funding levels for Recruitment of Established Investigators Awards:
Up to $6 million over a period of 5 years.

Recommend Awards:
One Recruitment of Established Investigators grant applications was submitted and one was recommended by the Scientific Review Council for an award.

RR2000032
Candidate: Karl Scheidt, Ph.D.
Funding Mechanism: Recruitment of Established Investigator
Applicant Organization: The University of Texas at San Antonio
Original Organization of Nominee: Northwestern
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:
Professor Karl A. Scheidt is recommended for a CPRIT Established Investigator Award to support his recruitment to The University of Texas at San Antonio from Northwestern where he has been a full professor since 2013 and Director of the Center for Molecular

Innovation since 2010. A recognized leader and educator Professor Scheidt has received several awards and honors over the past 15 years in recognition of his expertise in developing new chemical entities as biologically active inhibitors. Over the last few years he has developed potential new therapeutic approaches to cancer and these accomplishments form the basis of the proposed research that he will bring to Texas. His expertise in medicinal and synthetic chemistry will complement that of CPRIT Scholars recently recruited to San Antonio and further strengthen the precision medicine focus of the NCI designated Cancer Center at UTHealth San Antonio. Professor Scheidt's recruitment will be supported by a strong institutional support including a UT System recruitment award.

6. RECRUITMENT OF RISING STARS SLATE FY20.4, FY20.5 and FY20.6

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:
Three Recruitment of Rising Stars grant applications were submitted and one was recommended by the Scientific Review Council for an award.

RR2000030
Candidate: Shaun K Olsen, Ph.D.
Funding Mechanism: Recruitment of Rising Stars
Applicant Organization: The University of Texas Health Science Center at San Antonio
Original Organization of Nominee: Medical University of South Carolina
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:
Dr. Shaun Olsen is recommended for a Rising Star Award to support his recruitment to The University of Texas Health Science Center at San Antonio (UTHSC SA) from the University of

South Carolina. He is a structural biologist who received his PhD at NYU. He then initiated studies of ubiquitin interactions with proteins as a postdoc at Memorial Sloan Kettering Cancer Center. In 2013, he moved to the University of South Carolina where he has been an Assistant Professor of Biochemistry and Molecular Biology and Director of Xray Crystallography Core. He studies how ubiquitin signaling regulates crucial aspects of cellular behavior including DNA repair and cell cycle control. He will bring important research capabilities that will complement existing strengths of the UTHSC SA Center for Innovative Drug Discovery.

7. RECRUITMENT FIRST-TIME TENURE TRACK FACULTY MEMBERS SLATE FY20.4, FY20.5 and FY20.6

Peer Review Recommendations
The applications were evaluated and scored by the Scientific Review Council 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 can 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 up to 5 years.

Recommended Projects:
Seven Recruitment of First-Time Tenure Track Faculty Members grant applications were submitted and three were recommended by the Scientific Review Council an award.

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

RR200025
Candidate: Anna-Karin E Gustavsson, Ph.D.
Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member
Applicant Organization: Rice University
Original Organization of Nominee: Stanford University
Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.5**
Recommended Total Budget Award and Duration: $2,000,000.
CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:
Dr. Anna-Karin Gustavsson is recommended for a First Time Tenure Track Faculty Award to support her recruitment to Rice University from Stanford University. Dr. Gustavsson obtained

her Ph.D. in physics from the University of Gothenburg in 2015 and is currently a postdoc at the Karolinska and Stanford with Nobel laureate William Moerner where she has developed applications of super resolution microscopy to single cells. At Rice she plans to apply these techniques to investigate chromatin organization and dynamics of cancer cells with Texas Medical Center collaborators including Dr. Ron DePinho at MD Anderson.

RR200029
Candidate: Eric Smith, M.D., Ph.D.
Funding Mechanism: Recruitment of First Time Tenure Track Faculty Member
Applicant Organization: The University of Texas M. D. Anderson Cancer Center
Original Organization of Nominee: Memorial Sloan Kettering Cancer Center
Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.5
Recommended Total Budget Award and Duration: $2,000,000.
CPRIT Priorities Addressed: Recruitment of outstanding cancer researchers to Texas

Description:
Eric Smith, M.D., Ph.D., is a physician scientist recommended for a First Time Tenure Track Faculty Award to his recruitment to The University of Texas M.D. Anderson Cancer Center from Memorial Sloan Kettering Cancer Center. At Memorial his research has focused on development and clinical trials of cellular therapy for multiple myeloma. He has already achieved a national reputation for his work at Memorial and will bring a K08 award from the NCI to support a research program to develop CAR-T cell therapy for multiple myeloma.

RR200035
Candidate: Adam Durbin, M.D., 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 Center
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, Childhood and Adolescent Cancers/Neuroblastoma

Description:
Adam Durbin, M.D. Ph.D., is recommended for a first- time tenure-track faculty award to support his recruitment to UT Southwestern as an Assistant Professor Pediatrics. He is a physician scientist who currently is an instructor at Dana-Farber Cancer Center in pediatric hematology and oncology where he has demonstrated outstanding potential to contribute to developing novel therapeutics for children with high-risk neuroblastoma. At UT Southwestern he plans to focus on continuing these efforts to develop new therapeutic approaches for neuroblastoma patients.

- **Individual Investigator Research Awards**
  Supports applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Competitive renewal applications accepted.
  Award: Up to $300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.

- **Individual Investigator Research Awards for Cancer in Children and Adolescents**
  Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Competitive renewal applications accepted.
  Award: Up to $300,000 per year. Applicants that plan on conducting a clinical trial as part of the project may request up to $500,000 in total costs. Exceptions permitted if extremely well justified; maximum duration: 4 years.

- **Individual Investigator Research Awards for Clinical Translation**
  Supports applications which propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known. Areas of interest include clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices.
  Award: Up to $400,000 per year. Maximum duration: 3 years. Applicants that plan on conducting a clinical trial as part of the project may request up to $600,000 in total costs and a maximum duration of 4 years. Exceptions permitted if extremely well justified.

- **Individual Investigator Research Awards for Prevention and Early Detection**
  Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, early-stage progression, and/or early detection of cancer. Research may be laboratory-, clinical-, or population- based, and may include behavioral/intervention, dissemination or health services/outcomes research to reduce cancer incidence or promote early detection. Competitive renewal applications accepted. Award: Up to of $300,000 per year for laboratory and clinical research; Up to $500,000 per year for

population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.

- **Recruitment of Established Investigators (RFA R-20-1 REI):**
  Recruits outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.
  Award: Up to $6 million over a period of five years.

- **Recruitment of Rising Stars (RFA R-20-1 RRS):**
  Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.
  Award: Up to $4 million over a period of five years.

- **Recruitment of First-Time Tenure Track Faculty Members (RFA R-20-1. RFT**):
  Supports very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.
  Award: Up to $2 million over a period up to five years.

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

The SRC met on December 12, 2019 to consider the applications recommended by the peer review panels following their meetings that were held October 17, 2019 – October 24, 2019.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is $49,554,090.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,

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

Attachment

Rank	Application ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	$900,000
2	RP200093	IIRA	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	$900,000
3	RP200081	IIRA	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	$900,000
4	RP200395	IIRA	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	$900,000
5	RP200233	IIRA	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	$900,000
6	RP200120	IIRA	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	$900,000
7	RP200023	IIRA	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	$900,000
8	RP200271	IIRA	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I–Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	$900,000

9	RP200103	IIRACCA	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	$1,137,104
10	RP200401	IIRA	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	$900,000
11	RP200170	IIRA	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	$900,000
12	RP200467	IIRA	2.0	SREBP-2–Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	$900,000
13	RP200197	IIRA	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	$900,000
14	RP200173	IIRACT	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	$2,067,105
15	RP200369	IIRACT	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	$1,200,000
16	RP200223	IIRA	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	$887,713
17	RP200021	IIRA	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	$900,000
18	RP200402	IIRA	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	$899,847
19	RP200390	IIRA	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	$898,872

20	RP200284	IIRA	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	$899,959
21	RP200110	IIRACCA	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	$1,200,000
22	RP200235	IIRA	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	$900,000
23	RP200150	IIRA	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	$900,000
24	RP200452	IIRA	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	$900,000
25	RP200315	IIRA	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	$900,000
26	RP200409	IIRAP	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	$890,502

27	RP200381	IIRACCA	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	$1,444,593
28	RP200443	IIRA	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	$897,527
29	RP200456	IIRA	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	$899,651
30	RP200287	IIRA	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	$900,000
31	RP200181	IIRA	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	$900,000
32	RP200047	IIRA	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	$900,000
33	RP200118	IIRA	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	$900,000

34	RP200356	IIRACT	2.6	Circulating Tumor DNA–Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	$2,399,998
35	RP200439	IIRA	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	$900,000
36	RP200432	IIRACCA	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	$1,196,214
37	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	$899,985
38	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	$702,581
39	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	$900,000
40	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	$754,398
41	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition–Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	$1,199,997
42	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	$900,000
43	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	$1,198,659

44	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	$896,896
45	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	$1,200,000
46	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	$899,020
47	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	$900,000
48	RP200240	IIRA	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	$899,999
49	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	$1,483,470

IIRA: Individual Investigator Research Awards
IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents
IIRAP: Individual Investigator Research Awards for Prevention and Early Detection
IIRACT: Individual Investigator Research Awards for Clinical Translation

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on December 12, 2019 (REC Cycle 20.4 and 20.5) and on January 16, 2020 (REC Cycle 20.6) to review 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 is $16,000,000.

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

Sincerely yours,

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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR200029	Eric Smith, M.D., Ph.D.	RFTFM	The University of Texas M.D. Anderson Cancer Center	$2,000,000	1.5
2	RR200025	Anna-Karin Gustavsson, Ph.D.	RFTFM	Rice University	$2,000,000	1.5
3	RR200030	Shaun Olsen, Ph.D.	RRS	The University of Texas Health Science Center at San Antonio	$4,000,000	2.0
4	RR200032	Karl Scheid, Ph.D.	REI	The University of Texas at San Antonio	$6,000,000	2.0
5	RR200035	Adam Durbin, M.D., Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	$2,000,000	2.0

REI- Recruitment of Established Investigators
RRS- Recruitment of Rising Starts
RFTFM- Recruitment of First-Time Tenure Track Faculty Members

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Individual Investigator Research Awards

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-20.1-IIRA

Individual Investigator Research Awards

Please also refer to the Instructions for Applicants document, which will be posted on March 7, 2019

Application Receipt Opening Date: March 7, 2019

Application Receipt Closing Date: June 5, 2019

FY 2020
Fiscal Year Award Period
September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 1/10/19 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
- Expand access to innovative clinical trials

2. RATIONALE

The goals of the CPRIT Academic Research Grants Program are to support the discovery of new information about cancer that can lead to prevention, early detection, and cures and to translate new and existing discoveries into practical advances in cancer diagnosis and treatment. CPRIT encourages applications that seek new fundamental knowledge about cancer and cancer development as well as those attempting to develop state-of-the-art technologies, tools, computational models, and/or resources for cancer research, including those with potential commercialization opportunities. This award allows experienced or early-career–stage cancer researchers the opportunity to explore new methods and approaches for investigating a question of importance that has been inadequately addressed or for which there may be an absence of an established paradigm or technical framework. CPRIT will look with special favor on new approaches to be taken or new areas of investigation to be explored by established investigators and on supporting the research programs of the most promising investigators at the beginning of their research careers. Applicants need not be trained specifically in cancer research. Indeed, CPRIT strongly encourages investigators from other fields, including the mathematical and computational modeling, physical, chemical, and engineering sciences, to bring their expertise to bear on the exceptionally challenging problems posed by cancer. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure. To fulfill this vision, applications may address any topic or issue related to cancer, including cancer biology, computational modeling, and systems biology, causation, prevention, detection or screening, treatment, or cure. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Access to a clinical environment and interaction with translational cancer physician-scientists are highly desirable.

3. RESEARCH OBJECTIVES

CPRIT will foster cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This Request for Applications (RFA) solicits applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. The goal of awards made in response to this RFA is to fund exceptionally innovative research projects with great potential impact that are directed by a single investigator. Areas of interest include laboratory

research, translational studies, and/or clinical investigations. Applications that include collaboration with computational modeling teams are encouraged. In that cancers arise from a large number of derangements of basic molecular and cellular functions and, in turn, cause many alterations in basic biological processes, almost any aspect of biology may be relevant to cancer research, more or less directly. The *degree of relevance* to cancer research is a critical criterion for evaluation of projects for funding by CPRIT (section 9.4.1). For example, are alterations in the process in question *primarily* responsible for oncogenesis or secondary manifestations of malignant transformation? Will understanding the process or interfering with it offer selective and useful insight into prevention, diagnosis, or treatment of cancer? *Successful applicants for funding from CPRIT will have addressed these questions satisfactorily.*

4. FUNDING INFORMATION

Applicants may request a maximum of $300,000 in total costs per year for up to 3 years for research. Exceptions to these limits may be requested if extremely well justified (see section 8.2.10). Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may not submit applications to this RFA and to RFA-R-20.1-IIRACT, RFA-R-20.1-IIRACCA, or RFA R-20.1-IIRAP. Only 1 IIRA, IIRACT, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application

under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle.

- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-20.1-IIRACT, RFA-R-20.1-IIRACCA, or RFA R-20.1-IIRAP.
- An individual may serve as a PI on no more than 3 active CPRIT Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers MIRA Project Co-PIs equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be March 1, 2020).
- Applications that address Prevention and Early Detection, Cancers in Children and Adolescents, or Clinical Translation should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- Collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, and any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity) has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive,

measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds 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.

6. RESUBMISSION POLICY

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

7. RENEWAL POLICY

An application funded by CPRIT under this mechanism may be submitted for a competitive renewal. This policy is in effect for all awards submitted to date. See section 8.2.6. Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See section 9.2.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

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

specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 7, 2019, and must be submitted by 4 PM central time on June 5, 2019. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended upon a showing of extenuating circumstances. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk, within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

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

8.2.1. Abstract and Significance (5,000 characters)

It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see section 9.1).** Applicants should not waste this valuable space by

stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan.

Clearly address how the proposed project, if successful, will have a major impact on cancer.

Summarize how the proposed research creates new paradigms or challenges existing ones.

Indicate whether this research plan represents a new direction for the PI.

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson's summary. The layperson's summary will also be used by advocate reviewers (section 9.2) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

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

If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (2 pages)

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

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

8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (10 pages)

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

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

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

8.2.8. Vertebrate Animals and/or Human Subjects (2 pages)

If vertebrate animals will be used, provide a detailed plan of the protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition, certification of

approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Publications/References

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

8.2.10. Budget and Justification

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

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2020 is $200,000; CPRIT FY 2020 is from September 1, 2019, through August 31, 2020. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent

on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

8.2.11. Biographical Sketches (5 pages each)

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

8.2.12. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided. Refer to the sample current and pending support document located in *Current Funding Opportunities* for Academic Research in CARS.

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

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

8.2.14. Previous Summary Statement

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

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

8.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Language:** English.
- **Document Format:** PDF only.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Line Spacing:** Single.
- **Page Size:** 8.5 x 11 inches.
- **Margins:** 0.75 inch, all directions.
- **Color and High-Resolution Images:** Images, graphs, figures, and other illustrations must be must be submitted as part of the appropriate submitted document. Applicants should include text to explain illustrations that may be difficult to interpret when printed in black and white.
- **Scanning Resolution:** Images and figures must be of lowest reasonable resolution that permits clarity and readability. Unnecessarily large files will NOT be accepted, especially those that include only text.
- **References:** Applicants should use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

  Smith, P.T., Doe, J., White, J.M., et al (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research*, 135: 45–67.

- **Internet URLs:** Applicants are encouraged to provide the URLs of publications referenced in the application; however, applicants should not include URLs directing reviewers to websites containing additional information about the proposed research.
- **Headers and Footers:** These should not be used unless they are part of a provided template. Page numbers may be included in the footer (see following point).
- **Page Numbering:** Pages should be numbered at the bottom right corner of each page.
- All attachments that require signatures must be filled out, printed, signed, scanned, and then uploaded in PDF format.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers' interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed in section 9.4. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight

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

9.3. Confidentiality of Review

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

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

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

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

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Research Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

Applicant Investigator: Does the applicant investigator demonstrate the required creativity and expertise to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage–specific fashion. Have early-career–stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percent effort) to this project?

Relevance: Does the proposed research have a high degree of relevance to cancer research? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. Secondary Criteria

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

Secondary criteria include the following:

Research Environment: Does the research team have the needed expertise, facilities, and resources to accomplish all aspects of the proposed research? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support of the research team and the project?

Vertebrate Animals and/or Human Subjects: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

Budget: Is the budget appropriate for the proposed work?

Duration: Is the stated duration appropriate for the proposed work?

10. KEY DATES

RFA

RFA release	January 10, 2019

Application

Online application opens	March 7, 2019, 7 AM central time
Application due	June 5, 2019, 4 PM central time
Application review	June 2019–February 2020

Award

Award notification	February 2020
Anticipated start date	March 1, 2020

11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.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 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and

Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements regarding demonstration of available funding. 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.

13. CONTACT INFORMATION

13.1. Helpdesk

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

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 any other funding opportunity, should be directed to the CPRIT Senior 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)
Basic Cancer Research - 2 Peer Review Meeting
(20.1_ACR_BCR-2)
Observation Report

Report No.	2019-10-17 20.1_ACR_BCR-2
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2)
Panel Date:	10-17-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 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

One (1) BFS independent observer 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: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. 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,

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)
Basic Cancer Research - 1 Peer Review Meeting
(20.1_ACR_BCR-1)
Observation Report

Report No.	2019-10-18 20.1_ACR_BCR-1
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1)
Panel Date:	10-18-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 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

One (1) BFS independent observer 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: Sixteen (16) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2) and one (1) CPRIT Oversight Committee Member
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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,

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) Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) Observation Report

Report No.	2019-10-21 20.1_ACR_CB
Program Name:	Academic Research
Panel Name:	Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB)
Panel Date:	10-21-2019
Report Date:	10-31-2019

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 Basic Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 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 observer 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: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)

Observation Report

Report No.	2019-10-22 20.1_ACR_CPR
Program Name:	Academic Research
Panel Name:	Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)
Panel Date:	10-22-2019
Report Date:	10-28-2019

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 Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 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

One (1) BFS independent observer 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: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

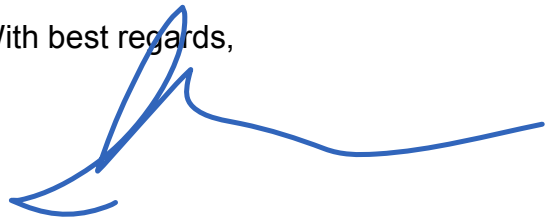
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

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,



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)

Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)

Observation Report

Report No.	2019-10-23 20.1_ACR_ITI
Program Name:	Academic Research
Panel Name:	Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)
Panel Date:	10-23-2019
Report Date:	10-31-2019

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 Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 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

One (1) BFS independent observer 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: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)

Observation Report

Report No.	2019-10-24 20.1_ACR_CTCR
Program Name:	Academic Research
Panel Name:	Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)
Panel Date:	10-24-2019
Report Date:	10-31-2019

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 Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 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

One (1) BFS independent observer 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: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)
Scientific Review Council (SRC 20.1)
Observation Report

Report No.	2019-12-12 SRC_20.1
Program Name:	Academic Research
Panel Name:	Scientific Review Council (SRC_20.1)
Panel Date:	12-12-2019
Report Date:	12-17-2019

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 Scientific Review Council (SRC_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 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: Forty-nine (49) 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) COI 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,

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

CPRIT Academic Research 20.1 Applications

Academic Research Cycle 20.1 Awards Announced at February 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards, Individual Investigator Research Awards for Cancer in Children and Adolescents, Individual Investigator Research Awards for Clinical Translation,* and *Individual Investigator Research Awards for Prevention and Early Detection.* 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:			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

Application ID	Applicant/PI	Institution	Conflict Noted
RP200233	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson
RP200456	Changho Choi	The University of Texas Southwestern Medical Center	Anna Wu
RP200058pe	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200432pe	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200432	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200356pe	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200356	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200025pe	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP200025	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee:			
RP200006pe	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200018pe	Alexander Pertsemlidis	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200089pe	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200111pe	Xiaojing Wang	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200114pe	Luiz Penalva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200143pe	David Libich	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200144pe	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200215pe	Ratna Vadlamudi	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200239pe	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200382pe	Patricia Dahia	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200398pe	Ann Griffith	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200416pe	Kyuson Yun	The Methodist Hospital Research Institute	Kristin Swanson
RP200436pe	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia ; Kristin Swanson
RP200436	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Kristin Swanson
RP200063pe	WEIXING ZHAO	The University of Texas Health Science Center at San Antonio	Alan Tomkinson;W. Chazin
RP200092pe	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200092	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200107pe	Samy Habib	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200169pe	Guo-Min Li	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200279pe	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200279*	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200367pe	Elizabeth Goldsmith	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200391pe	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200391	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy
RP200056pe	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200056	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200077pe	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200077	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200221pe	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200221*	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200094pe	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200094	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200099pe	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200099*	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200115pe	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200115	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200141pe	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200141	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200159pe	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200159	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200193pe	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200193	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200238pe	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200238	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200260pe	Yi-Qian Nancy You	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305pe	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200336pe	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200336	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200441pe	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200441*	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200021pe	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200021	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200057pe	Kenneth Hoyt	The University of Texas at Dallas	Anna. Wu
RP200154pe	Kevin Burgess	Texas A&M University	Weibo Cai
RP200161pe	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200161	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco
RP200167pe	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200167	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200180pe	Joseph Maldjian	The University of Texas Southwestern Medical Center	Anna Wu
RP200192pe	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200192	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200214pe	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200214	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200256pe	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200280pe	Guiyang Hao	The University of Texas Southwestern Medical Center	Anna Wu
RP200351pe	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200351*	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200375pe	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200375	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200479pe	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200479	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200495pe	Yujie Chi	The University of Texas at Arlington	Anna Wu
RP200497pe	Justyn Jaworski	The University of Texas at Arlington	Anna Wu
RP200497	Justyn Jaworski	The University of Texas at Arlington	Anna Wu

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200291	Marina Konopleva	The University of Texas M. D. Anderson Cancer Center	Charles Mullighan
RP200408	Cullen Taniguchi	The University of Texas M. D. Anderson Cancer Center	Anne Tonachel

De-Identified Overall Evaluation Scores

Individual investigator Research Awards

Academic Research Cycle 20.1

Final Scores for Fully Reviewed Applications

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

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

Application ID	Final Overall Evaluation Score
RP200423*	1.2
RP200093*	1.6
RP200081*	1.7
RP200395*	1.7
RP200233*	1.8
RP200023*	1.9
RP200120*	1.9
RP200271*	1.9
RP200401*	2.0
RP200170*	2.0
RP200467*	2.0
RP200197*	2.0
RP200223*	2.0
RP200021*	2.0
RP200402*	2.1
RP200390*	2.1
RP200284*	2.1
RP200235*	2.2
RP200150*	2.2
RP200452*	2.2
RP200315*	2.3
RP200443*	2.4
RP200456*	2.4
RP200287*	2.5

* = Recommended for award

** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Application ID	Final Overall Evaluation Score
RP200181*	2.5
RP200047*	2.6
RP200118*	2.6
RP200439*	2.7
RP200472*	2.8
ga**	2.8
gb	2.8
gc	2.8
gd**	2.9
ge**	2.9
Gf	2.9
Gh	2.9
gi**	3.0
gj**	3.0
gk**	3.1
gl**	3.1
Gm	3.2
Gn	3.3
Ho	3.3
Gp	3.3
Gq	3.3
Gr	3.3
Gs	3.3
Gt	3.3
Gu	3.3
Gv	3.3
Gw	3.3
Gx	3.3
Gy	3.3
Gz	3.3
Gw	3.3
Gx	3.3
Gy	3.3
Gz	3.4
Ha	3.4
Hb	3.4
Hc	3.5
Hd	3.5
He	3.5
Hf	3.6
Hg	3.6

* = Recommended for award

** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Application ID	Final Overall Evaluation Score
Hh	3.7
Hi	3.7
Hj	3.7
Hk	3.7
Hl	3.7
Hm	3.7
Hn	3.7
Ho	3.7
Hp	3.7
Hq	3.7
Hr	3.7
Hs	3.7
Ht	3.7
Hu	3.7
Hv	3.7
Hw	3.7
Hx	3.8
Hy	3.8
Hz	3.8
Hw	3.9
Hx	3.9
Hy	3.9
Hz	3.9
Ia	4.0
Ib	4.0
Ic	4.0
Id	4.0
Ie	4.0
If	4.0
Ig	4.0
Ih	4.0
Ii	4.0
Ij	4.0
Ik	4.0
Il	4.0
Im	4.0
In	4.0
Io	4.0
Ip	4.0
Iq	4.0
Ir	4.0

* = Recommended for award
** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Application ID	Final Overall Evaluation Score
Is	4.0
It	4.0
Iu	4.1
Iv	4.1
Iw	4.3
Ix	4.3
Iy	4.3
Iz	4.3
Ja	4.3
Jb	4.3
Jc	4.3
Jd	4.3
Je	4.3
Jf	4.3
Jg	4.3
Jh	4.3
Ji	4.3
Jj	4.3
Jk	4.3
Jl	4.3
Jm	4.4
Jn	4.4
Jo	4.6
Jp	4.6
Jq	4.6
Jr	4.7
Js	4.7
Jt	4.7
Ju	4.7
Jv	5.0
Jw	5.0
Jx	5.0
Jy	5.0
Jz	5.0
Ka	5.3
Kb	5.3
Kc	5.3
Kd	5.3
Ke	5.3
Kf	5.3
Kg	5.5

* = Recommended for award

** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Application ID	Final Overall Evaluation Score
Kh	5.7
Ki	5.7
Kj	5.7
Kk	5.7
Kl	5.7
Km	5.7
kn	5.7

* = Recommended for award
** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Individual Investigator Research Awards

Academic Research Cycle 20.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Scores for Preliminary Evaluation
aaaa	2.7
aaab	3.0
Aaa	3.67
Aab	3.67
Aac	3.67
Aad	3.67
Aae	3.67
Aaf	3.67
Aag	3.67
Aah	3.67
Aai	3.67
Aaj	3.67
Aak	4.00
Aal	4.00
Aam	4.00
Aan	4.00
Aao	4.00
Aap	4.00
Aaq	4.00
Aar	4.00
Aas	4.00
Aat	4.00
Aau	4.00
Aav	4.00
Aaw	4.00
Aax	4.00
Aay	4.00
Aaz	4.00
Aba	4.00
Abb	4.00
Abc	4.00

Application ID	Final Scores for Preliminary Evaluation
Abd	4.00
Abe	4.33
Abf	4.33
Abg	4.33
Abh	4.33
Abi	4.33
Abj	4.33
Abk	4.33
Abl	4.33
Abm	4.33
Abn	4.33
Abo	4.33
Abp	4.33
Abq	4.33
Abr	4.33
Abs	4.33
Abt	4.33
Abu	4.33
Abv	4.33
Abw	4.33
Abx	4.33
Aby	4.67
Abz	4.67
AcA	4.67
Acb	4.67
Acc	4.67
Acd	4.67
Ace	4.67
Acf	4.67
Acg	4.67
Ach	4.67
Aci	4.67
Acj	4.67
Ack	4.67
Acl	4.67
Acm	4.67
Acn	4.67
Aco	5.00
Acp	5.00
Acq	5.00

Application ID	Final Scores for Preliminary Evaluation
Acr	5.00
Acs	5.00
Act	5.00
Acu	5.00
Acv	5.00
Acw	5.33
Acx	5.33
Acy	5.33
Acz	5.33
Ada	5.33
Adb	5.33
Adc	5.33
Add	5.67
Ade	5.67
Adf	5.67
Adg	5.67
Adh	5.67
Adi	6.00
Adj	6.00
Adk	6.00
Adl	6.00
Adm	6.33
Adn	6.33
Ado	6.33
Adp	6.33
Adq	6.33
Adr	7.00

Final Overall Evaluation Scores and Rank Order Scores

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San Diego

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Ludwig Institute for Cancer Research Ltd

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

The SRC met on December 12, 2019 to consider the applications recommended by the peer review panels following their meetings that were held October 17, 2019 – October 24, 2019.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is $49,554,090.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,

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

Attachment

Rank	Application ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	$900,000
2	RP200093	IIRA	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	$900,000
3	RP200081	IIRA	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	$900,000
4	RP200395	IIRA	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	$900,000
5	RP200233	IIRA	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	$900,000
6	RP200120	IIRA	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	$900,000
7	RP200023	IIRA	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	$900,000
8	RP200271	IIRA	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I–Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	$900,000

9	RP200103	IIRACCA	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	$1,137,104
10	RP200401	IIRA	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	$900,000
11	RP200170	IIRA	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	$900,000
12	RP200467	IIRA	2.0	SREBP-2–Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	$900,000
13	RP200197	IIRA	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	$900,000
14	RP200173	IIRACT	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	$2,067,105
15	RP200369	IIRACT	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	$1,200,000
16	RP200223	IIRA	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	$887,713
17	RP200021	IIRA	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	$900,000
18	RP200402	IIRA	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	$899,847
19	RP200390	IIRA	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	$898,872

20	RP200284	IIRA	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	$899,959
21	RP200110	IIRACCA	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	$1,200,000
22	RP200235	IIRA	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	$900,000
23	RP200150	IIRA	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	$900,000
24	RP200452	IIRA	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	$900,000
25	RP200315	IIRA	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	$900,000
26	RP200409	IIRAP	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	$890,502

27	RP200381	IIRACCA	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	$1,444,593
28	RP200443	IIRA	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	$897,527
29	RP200456	IIRA	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	$899,651
30	RP200287	IIRA	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	$900,000
31	RP200181	IIRA	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	$900,000
32	RP200047	IIRA	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	$900,000
33	RP200118	IIRA	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	$900,000

34	RP200356	IIRACT	2.6	Circulating Tumor DNA–Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	$2,399,998
35	RP200439	IIRA	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	$900,000
36	RP200432	IIRACCA	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	$1,196,214
37	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	$899,985
38	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	$702,581
39	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	$900,000
40	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	$754,398
41	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition–Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	$1,199,997
42	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	$900,000
43	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	$1,198,659

44	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	$896,896
45	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	$1,200,000
46	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	$899,020
47	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	$900,000
48	RP200240	IIRA	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	$899,999
49	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	$1,483,470

IIRA: Individual Investigator Research Awards
IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents
IIRAP: Individual Investigator Research Awards for Prevention and Early Detection
IIRACT: Individual Investigator Research Awards for Clinical Translation

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Individual Investigator Research Awards for Cancer in Children and Adolescents

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-20.1-IIRACCA

Individual Investigator Research Awards for Cancer in Children and Adolescents

Please also refer to the Instructions for Applicants document, which will be posted on March 7, 2019

Application Receipt Opening Date: March 7, 2019

Application Receipt Closing Date: June 5 2019

FY 2020
Fiscal Year Award Period
September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 1/10/19 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

- Expand access to innovative clinical trials

2. RATIONALE

In recent decades, great strides have been made in reducing mortality from childhood cancers. Most of these gains have been realized in childhood leukemia and lymphoma. However, improvements in survival have been less robust in other types of childhood cancers, which make up more than 40% of total cancer cases in children and adolescents aged 0 to 19 years. Furthermore, the overall incidence of pediatric cancer has increased at an annual rate of 0.6% since 1975, with most of the increases being seen in acute lymphocytic leukemia, brain and central nervous system tumors, non-Hodgkin's lymphoma, and testicular germ cell tumors. Reasons for increases in these tumor types are unknown, indicating that information on the etiology of these cancers is urgently needed. Because of the high rates of survival for certain childhood and adolescent cancers, there are increasing numbers of survivors of such cancers living today. These individuals have a high rate of late effects from the cancer or its treatment, including the occurrence of additional cancers. Clearly, more effective, less toxic treatments are needed for these diseases. However, few new therapies have been developed in recent years. Several reasons account for the paucity of new treatments, including the lack of interest on the part of pharmaceutical companies in developing treatments for cancers that account for only 1% of all cancer cases and the difficulty of collecting sufficient numbers of tumors for laboratory studies.

Because cancers in children and adolescents differ from those in adults with regard to genetic alterations and biological behavior, application of adult therapies to these cancers may not be successful. Therefore, this area of investigation represents an opportunity for CPRIT to deploy funding in an area of critical need that is not heavily represented in other funding portfolios.

3. RESEARCH OBJECTIVES

This Request for Applications (RFA) solicits applications from individual investigators for innovative research projects addressing questions that will advance current knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Applications may address any topic related to these areas as well as projects dealing with the causes or amelioration of late effects of cancer treatment. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the

incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Applications that seek to apply or develop state-of-the-art approaches, technologies, tools, treatments, and/or resources are encouraged, particularly those with potential for commercialization. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies.

The subject of applications may include, but is not limited to, the following:

- Causes of cancer in children and adolescents, including genetic factors or prenatal exposure to environmental agents;
- Identification of risk factors for cancer development;
- New methods for diagnosing cancers in children and/or adolescents;
- Development of new therapies, including targeted therapies, immunotherapies, and new drugs;
- Identification of patients at risk of developing late effects of cancer treatment;
- Improvements in quality of life for survivors of childhood and adolescent cancers.

The *degree of relevance* to reducing the burden of cancer in these populations is a critical criterion for evaluation of projects for funding by CPRIT.

4. FUNDING INFORMATION

Applicants may request a maximum of $300,000 per year for a period of up to 4 years. Applicants that plan on conducting a clinical trial as part of the project may request up to $500,000 in total costs per year for up to 4 years. Note that an individual detailed budget for conducting a clinical trial is required. Exceptions to these limits may be requested if extremely well justified. Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A

public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.

- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may not submit applications to this RFA and to RFA-R-20.1-IIRA, RFA-R-20.1-IIRACT, or RFA R-20.1-IIRAP. Only 1 IIRA, IIRACT, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-20.1-IIRACT, RFA R-20.1-IIRA, or RFA R-20.1-IIRAP.
- An individual may serve as a PI on no more than 3 active CPRIT Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers MIRA Project Co-PIs equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be March 1, 2020).
- Applications that address untargeted research, Prevention and Early Detection, or Clinical Translation should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- Collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within

the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.

- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds 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.

6. RESUBMISSION POLICY

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

7. RENEWAL POLICY

An application funded by CPRIT under this mechanism may be submitted for a competitive renewal. An application originally funded by CPRIT as an IIRA that is appropriate for the

IIRACCA mechanism may be submitted under this RFA for a competitive renewal. See section 8.2.6. Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See section 9.2.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (https://CPRITGrants.org). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 7, 2019 and must be submitted by 4 PM central time on June 5, 2019. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended upon a showing of extenuating circumstances. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk, within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are

missing 1 or more components or do not meet the eligibility requirements listed in section 5 will be administratively withdrawn without review.

8.2.1. Abstract and Significance (5,000 characters)

It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see section 9.1).** Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Clearly address how the proposed project, if successful, will have a major impact on cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson's summary. The layperson's summary will also be used by advocate reviewers (section 9.2) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

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

If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (2 Pages)

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

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

8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (10 pages)

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

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

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

8.2.8. Vertebrate Animals and/or Human Subjects (2 pages)

If vertebrate animals will be used, provide a detailed plan of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, costs associated with the conduct of a clinical trial, animal care costs, and other expenses. Do not exceed $300,000 per year for a period of up to 4 years. Applicants who plan on conducting a clinical trial as part of the project may request up to $500,000 in total costs per year for up to 4 years. While there will be 1 budget for the entire project, an individual budget and budget justification for the conduct of a clinical trial must be included. The justification should include the statistical considerations that led to the clinical trial design, accrual milestones, and validation of biomarkers. Applicants are advised not to interpret the maximum allowable time and funding under this award as a suggestion that

they should expand their anticipated work and budget to this level. Reasonable budgets clearly work in favor of the applicant.

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2019 is $200,000; CPRIT FY 2020 is from September 1, 2019, through August 31, 2020. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

8.2.11. Biographical Sketches (5 pages each)

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research.
A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel

may be provided. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

8.2.12. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided. Refer to the sample current and pending support document located in *Current Funding Opportunities* for Academic Research in CARS.

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

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

8.2.14. Previous Summary Statement

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

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

8.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Language:** English.
- **Document Format:** PDF only.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Line Spacing:** Single.
- **Page Size:** 8.5 x 11 inches.
- **Margins:** 0.75 inch, all directions.

- **Color and High-Resolution Images:** Images, graphs, figures, and other illustrations must be must be submitted as part of the appropriate submitted document. Applicants should include text to explain illustrations that may be difficult to interpret when printed in black and white.
- **Scanning Resolution:** Images and figures must be of lowest reasonable resolution that permits clarity and readability. Unnecessarily large files will NOT be accepted, especially those that include only text.
- **References:** Applicants should use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

  Smith, P.T., Doe, J., White, J.M., et al (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research*, 135: 45–67.
- **Internet URLs:** Applicants are encouraged to provide the URLs of publications referenced in the application; however, applicants should not include URLs directing reviewers to websites containing additional information about the proposed research.
- **Headers and Footers:** These should not be used unless they are part of a provided template. Page numbers may be included in the footer (see following point).
- **Page Numbering:** Pages should be numbered at the bottom right corner of each page.
- All attachments that require signatures must be filled out, printed, signed, scanned, and then uploaded in PDF format.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

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

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

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed in section 9.4. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC.

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

9.3. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, Scientific Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to

sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

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

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

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

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Research Officer, and the Commissioner of State Health Services.

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

Applicant Investigator: Does the applicant investigator demonstrate the required creativity and expertise to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage–specific fashion. Have early-career–stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percent effort) to this project?

Relevance: Does the proposed research address cancer in children or adolescents? Is it likely to make an impact on these diseases? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. Secondary Criteria

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

Secondary criteria include the following:

Research Environment: Does the research team have the needed expertise, facilities, and resources to accomplish all aspects of the proposed research? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support of the research team and the project?

Vertebrate Animals and/or Human Subjects: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

Budget: Is the budget appropriate for the proposed work?

Duration: Is the stated duration appropriate for the proposed work?

10. KEY DATES

RFA

RFA release	January 10, 2019

Application

Online application opens	March 7, 2019, 7 AM central time
Application due	June 5, 2019, 4 PM central time
Application review	June 2019–February 2020

Award

Award notification	February 2020
Anticipated start date	March 1, 2020

11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to

exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in chapter 701, section 701.25.

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements regarding demonstration of available funding. 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.

13. CONTACT INFORMATION

13.1. Helpdesk

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

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 any other funding opportunity, should be directed to the CPRIT Senior 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)
Basic Cancer Research - 2 Peer Review Meeting
(20.1_ACR_BCR-2)
Observation Report

Report No.	2019-10-17 20.1_ACR_BCR-2
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2)
Panel Date:	10-17-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 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

One (1) BFS independent observer 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: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. 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,

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)
Basic Cancer Research - 1 Peer Review Meeting
(20.1_ACR_BCR-1)
Observation Report

Report No.	2019-10-18 20.1_ACR_BCR-1
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1)
Panel Date:	10-18-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 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

One (1) BFS independent observer 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: Sixteen (16) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2) and one (1) CPRIT Oversight Committee Member
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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,

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) Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) Observation Report

Report No.	2019-10-21 20.1_ACR_CB
Program Name:	Academic Research
Panel Name:	Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB)
Panel Date:	10-21-2019
Report Date:	10-31-2019

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 Basic Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 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 observer 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: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)

Observation Report

Report No.	2019-10-22 20.1_ACR_CPR
Program Name:	Academic Research
Panel Name:	Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)
Panel Date:	10-22-2019
Report Date:	10-28-2019

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 Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 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

One (1) BFS independent observer 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: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

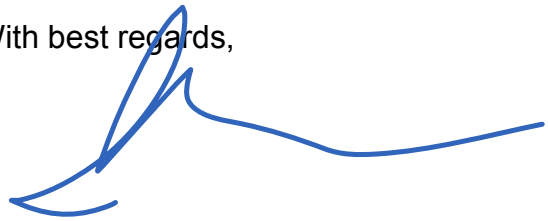
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

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,



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)

Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)

Observation Report

Report No.	2019-10-23 20.1_ACR_ITI
Program Name:	Academic Research
Panel Name:	Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)
Panel Date:	10-23-2019
Report Date:	10-31-2019

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 Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 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

One (1) BFS independent observer 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: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)

Observation Report

Report No.	2019-10-24 20.1_ACR_CTCR
Program Name:	Academic Research
Panel Name:	Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)
Panel Date:	10-24-2019
Report Date:	10-31-2019

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 Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 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

One (1) BFS independent observer 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: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)
Scientific Review Council (SRC 20.1)
Observation Report

Report No.	2019-12-12 SRC_20.1
Program Name:	Academic Research
Panel Name:	Scientific Review Council (SRC_20.1)
Panel Date:	12-12-2019
Report Date:	12-17-2019

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 Scientific Review Council (SRC_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 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: Forty-nine (49) 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) COI 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,

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

CPRIT Academic Research 20.1 Applications

Academic Research Cycle 20.1 Awards Announced at February 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards, Individual Investigator Research Awards for Cancer in Children and Adolescents, Individual Investigator Research Awards for Clinical Translation,* and *Individual Investigator Research Awards for Prevention and Early Detection.* 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:			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

Application ID	Applicant/PI	Institution	Conflict Noted
RP200233	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson
RP200456	Changho Choi	The University of Texas Southwestern Medical Center	Anna Wu
RP200058pe	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200432pe	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200432	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200356pe	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200356	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200025pe	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP200025	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee:			
RP200006pe	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200018pe	Alexander Pertsemlidis	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200089pe	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200111pe	Xiaojing Wang	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200114pe	Luiz Penalva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200143pe	David Libich	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200144pe	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200215pe	Ratna Vadlamudi	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200239pe	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200382pe	Patricia Dahia	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200398pe	Ann Griffith	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200416pe	Kyuson Yun	The Methodist Hospital Research Institute	Kristin Swanson
RP200436pe	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia ; Kristin Swanson
RP200436	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Kristin Swanson
RP200063pe	WEIXING ZHAO	The University of Texas Health Science Center at San Antonio	Alan Tomkinson;W. Chazin
RP200092pe	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200092	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200107pe	Samy Habib	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200169pe	Guo-Min Li	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200279pe	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200279*	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200367pe	Elizabeth Goldsmith	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200391pe	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200391	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy
RP200056pe	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200056	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200077pe	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200077	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200221pe	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200221*	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200094pe	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200094	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200099pe	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200099*	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200115pe	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200115	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200141pe	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200141	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200159pe	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200159	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200193pe	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200193	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200238pe	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200238	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200260pe	Yi-Qian Nancy You	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305pe	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200336pe	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200336	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200441pe	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200441*	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200021pe	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200021	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200057pe	Kenneth Hoyt	The University of Texas at Dallas	Anna. Wu
RP200154pe	Kevin Burgess	Texas A&M University	Weibo Cai
RP200161pe	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200161	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco
RP200167pe	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200167	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200180pe	Joseph Maldjian	The University of Texas Southwestern Medical Center	Anna Wu
RP200192pe	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200192	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200214pe	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200214	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200256pe	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200280pe	Guiyang Hao	The University of Texas Southwestern Medical Center	Anna Wu
RP200351pe	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200351*	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200375pe	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200375	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200479pe	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200479	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200495pe	Yujie Chi	The University of Texas at Arlington	Anna Wu
RP200497pe	Justyn Jaworski	The University of Texas at Arlington	Anna Wu
RP200497	Justyn Jaworski	The University of Texas at Arlington	Anna Wu

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200291	Marina Konopleva	The University of Texas M. D. Anderson Cancer Center	Charles Mullighan
RP200408	Cullen Taniguchi	The University of Texas M. D. Anderson Cancer Center	Anne Tonachel

De-Identified Overall Evaluation Scores

Individual investigator Research Awards for Cancer in Children and Adolescents

Academic Research Cycle 20.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP200103*	2.0
RP200110*	2.2
RP200381*	2.4
RP200432*	2.7
la**	3.0
lb**	3.0
Lc	3.3
Ld	3.3
Le	3.7
Lf	3.8
Lg	3.9
Lh	4.0
Li	4.0
Lj	4.0
Lk	4.0
Ll	4.0
Lm	4.0
Ln	4.3
Lo	4.3
Lp	4.3
Lq	4.4
Lr	4.5
Ls	4.7
Lt	5.0
Lu	5.0
Lv	5.0
Lw	5.3
lx	6.3

* = Recommended for award

** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Individual Investigator Research Awards for Cancer in Children and Adolescents

Academic Research Cycle 20.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Scores for Preliminary Evaluation
Baa	3.67
Bab	3.67
Bac	4.00
Bad	4.00
Bae	4.00
Baf	4.00
Bag	4.00
Bah	4.00
Bai	4.00
Baj	4.00
Bak	4.33
Bal	4.33
Bam	4.33
Ban	4.33
Bao	4.33
Bap	4.67
Baq	4.67
Bar	4.67
Bas	4.67
Bat	5.00
Bau	5.00
Bav	5.33
Baw	5.33
Bax	5.67
bay	6.00

Final Overall Evaluation Scores and Rank Order Scores

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San Diego

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Ludwig Institute for Cancer Research Ltd

Richard D. Kolodner Ph.D.

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

The SRC met on December 12, 2019 to consider the applications recommended by the peer review panels following their meetings that were held October 17, 2019 – October 24, 2019.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is $49,554,090.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,

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

Attachment

Rank	Application ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	$900,000
2	RP200093	IIRA	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	$900,000
3	RP200081	IIRA	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	$900,000
4	RP200395	IIRA	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	$900,000
5	RP200233	IIRA	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	$900,000
6	RP200120	IIRA	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	$900,000
7	RP200023	IIRA	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	$900,000
8	RP200271	IIRA	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I–Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	$900,000

9	RP200103	IIRACCA	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	$1,137,104
10	RP200401	IIRA	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	$900,000
11	RP200170	IIRA	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	$900,000
12	RP200467	IIRA	2.0	SREBP-2–Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	$900,000
13	RP200197	IIRA	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	$900,000
14	RP200173	IIRACT	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	$2,067,105
15	RP200369	IIRACT	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	$1,200,000
16	RP200223	IIRA	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	$887,713
17	RP200021	IIRA	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	$900,000
18	RP200402	IIRA	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	$899,847
19	RP200390	IIRA	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	$898,872

20	RP200284	IIRA	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	$899,959
21	RP200110	IIRACCA	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	$1,200,000
22	RP200235	IIRA	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	$900,000
23	RP200150	IIRA	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	$900,000
24	RP200452	IIRA	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	$900,000
25	RP200315	IIRA	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	$900,000
26	RP200409	IIRAP	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	$890,502

27	RP200381	IIRACCA	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	$1,444,593
28	RP200443	IIRA	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	$897,527
29	RP200456	IIRA	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	$899,651
30	RP200287	IIRA	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	$900,000
31	RP200181	IIRA	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	$900,000
32	RP200047	IIRA	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	$900,000
33	RP200118	IIRA	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	$900,000

34	RP200356	IIRACT	2.6	Circulating Tumor DNA–Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	$2,399,998
35	RP200439	IIRA	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	$900,000
36	RP200432	IIRACCA	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	$1,196,214
37	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	$899,985
38	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	$702,581
39	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	$900,000
40	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	$754,398
41	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition–Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	$1,199,997
42	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	$900,000
43	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	$1,198,659

44	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	$896,896
45	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	$1,200,000
46	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	$899,020
47	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	$900,000
48	RP200240	IIRA	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	$899,999
49	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	$1,483,470

IIRA: Individual Investigator Research Awards
IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents
IIRAP: Individual Investigator Research Awards for Prevention and Early Detection
IIRACT: Individual Investigator Research Awards for Clinical Translation

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Individual Investigator Research Awards for Clinical Translation

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-20.1-IIRACT

Individual Investigator Research Awards for Clinical Translation

Please also refer to the Instructions for Applicants document, which will be posted on March 7, 2019

Application Receipt Opening Date: March 7, 2019

Application Receipt Closing Date: June 5, 2019

FY 2020
Fiscal Year Award Period
September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 1/10/19 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
- Expand access to innovative clinical trials

2. RATIONALE

This Individual Investigator Research Awards for Clinical Translation (IIRACT) mechanism will support the conduct of hypothesis-based studies of novel cancer therapies or devices in early-phase clinical trials or completed trials where the outcome is known. Such clinical trials offer important opportunities to incorporate biomarkers, pharmacokinetic and pharmacodynamic monitoring, and/or imaging studies to provide more precise knowledge about what works, in whom, and in which types of cancer and to guide subsequent clinical development of a novel cancer therapy.

The research supported by this mechanism is important because current clinical development of novel cancer therapeutics remains slow and expensive with many late-stage failures. Only 5% of cancer therapeutics that enter clinical evaluation will be approved, and the approval process is often measured in decades. There is an urgent need to accelerate and enhance the efficiency of this process by improving the clinical evaluation of novel cancer therapeutics through adoption of modern trial designs that incorporate biomarkers. Such trials will build on advances in basic discovery that have identified the critical targets involved in the hallmarks of cancer and have led to mechanism-based therapeutics. Trials that are designed to determine if predictors of response and efficacy identified in preclinical models also occur in patients have the potential to accelerate therapeutic development and approvals. They also guide the development of diagnostic tests to identify those patients most likely to benefit from these new treatments. Well-conducted early-phase studies will also inform reasons for treatment failure and feed back to preclinical studies designed to overcome barriers to success identified in patients.

3. RESEARCH OBJECTIVES

The goal of the IIRACT Award is to promote clinical research that will lead to a better understanding of the clinical efficacy of a cancer therapy or diagnostic device. Applications submitted under this mechanism should propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known.

Clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices are all responsive to this Request for Applications (RFA).

Applications that propose the development and validation of a biomarker (biospecimen derived from patient tissue or biofluid) or an imaging biomarker are responsive to this RFA provided that the research plan includes validation steps that involve patients treated on a clinical trial.

Early-phase clinical trials of agents or combinations of agents for which there are robust nonclinical data that suggest there may be clinical activity are responsive to the RFA, even if there is no biomarker, as long as the early-phase clinical trial will lead to determining if the activity observed in the laboratory can be replicated in patients.

Additional examples of the types of studies appropriate for the IIRACT award include, but are not limited to, the following:

- Exploratory, phase 1, or small phase 2 trials of new agents, repurposed agents, radiation therapy, surgery, or combinations of interventions where the trial design incorporates biomarker and/or imaging strategies to determine one or more of the following: presence of the drug target, target inhibition, biological pathway inhibition, or pathophysiological alteration by the investigational drug or device
- Discovery and/or validation of predictive biomarkers (eg, genomic, proteomic, or metabolomic signatures of response) using biospecimens from trials where the outcome is known
- Correlation of the activation of specific signaling pathways with clinical outcomes
- Pharmacogenomic studies aimed at the identification of genomic profiles associated with increased/decreased efficacy or toxicity during clinical interventions
- Discovery and/or early validation of biomarkers elucidating mechanisms of action of interventions aimed at preventing or treating symptoms and/or toxicities resulting from treatment using biospecimens from clinical trials where the outcomes are known
- Molecular analyses of biospecimens obtained from exceptional responders

4. FUNDING INFORMATION

- Applicants may request a maximum of $400,000 per year for a period of up to 3 years.
- Applicants who plan on conducting a clinical trial as part of the project may request up to $600,000 in total costs per year for up to 4 years. Note that an individual detailed budget for conducting a clinical trial is required.
- Exceptions to these limits may be requested if extremely well justified.

- If a clinical trial is proposed, the budget justification must include a timeline for trial initiation and accrual targets.
- If a clinical trial is proposed, applications should provide documentation that the proposed trial is feasible within the project timeline. For example, drug access through an industry or CTEP arrangement should be documented. When indicated, an approved investigational new drug application (IND) or investigational device exemption (IDE) for devices from the Food and Drug Administration (FDA) should be cited, or if no IND is yet available for the agent(s), then a pre-IND meeting would have been held with the FDA, and the summary letter from that pre-IND meeting would be included as an attachment (see section 8.2.10).
- Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs including diagnostic or interventional procedures associated with participation in a clinical trial and not considered routine patient care, and travel to scientific/technical meetings or collaborating institutions (see section 8.2.12).

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism.
- A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may not submit applications to this RFA and to RFA-R-20.1-IIRA, RFA-R-20.1-IIRACCA, or RFA R-20.1-IIRAP. Only 1 IIRA, IIRACT, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-20.1-IIRACCA, RFA-R-20.1-IIRA, or RFA-R-20.1-IIRAP.

- A PI may submit both a new application to this RFA and a renewal application to another RFA during this funding cycle.
- An individual may serve as a PI on no more than 3 active CPRIT Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers MIRA Project Co-PIs equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be March 1, 2020).
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- Collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds 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.

6. RESUBMISSION POLICY

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

7. RENEWAL POLICY

An application originally funded by CPRIT as an IIRA, IIRACCA, or IIRAP that is appropriate for the IIRACT mechanism may be submitted under this RFA for a competitive renewal. See section 8.2.6. Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See section 9.2.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (https://CPRITGrants.org). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be

accepted beginning at 7 AM central time on March 7, 2019, and must be submitted by 4 PM central time on June 5, 2019 **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended upon a showing of extenuating circumstances. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

Please note that deadline extension requests are very rarely approved.

8.2. Application Components

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

8.2.1. Abstract and Significance (5,000 characters)

It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see section 9.1).** Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan.

Clearly address how the proposed project, if successful, will have a major impact on cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson's summary. The layperson's summary will also be used by advocate reviewers (section 9.2) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

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

If a clinical trial is proposed as a component of this application, the timeline must include clearly defined patient accrual milestones.

If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (2 pages)

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

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

8.2.6. Renewal Summary (2 Pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (11 pages)

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

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

Research Strategy: Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data that support the proposed hypothesis are encouraged but not required. This section has been lengthened to allow the applicant to present the statistical considerations used to determine a trial design, accrual milestones, and biomarker validation.

8.2.8. Vertebrate Animals and/or Human Subjects (2 pages)

If vertebrate animals will be used, provide a detailed plan of the protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Protocol Documentation

If a clinical trial is planned, a PDF copy of the full protocol can be attached.

8.2.10. Investigational New Drug Application (IND)/Investigational Device Exemption (IDE)

If a clinical trial is proposed that requires an IND or IDE, provide evidence of an approved IND or IDE for devices from the FDA. If no IND is yet available for the agent(s), then provide a summary letter from a pre-IND meeting held with the FDA. If the drug or device is to be provided through an industry or CTEP mechanism, provide documentation that the drug or device will be available.

8.2.11. Publications/References

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

8.2.12. Budget and Justification

Provide a compelling and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, costs associated with the conduct of a clinical trial, animal care costs, and other expenses. While there will be 1 budget for the entire project, an individual budget and budget justification for the conduct of a clinical trial must be included. The justification should include the statistical considerations that led to the clinical trial design, accrual milestones, and validation of biomarkers.

Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request.

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

- Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding

indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.

- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2020 is $200,000; CPRIT FY 2020 is from September 1, 2019, through August 31, 2020. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

8.2.13. Biographical Sketches (5 pages each)

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research.
A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

8.2.14. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided. Refer to the sample current and pending support document located in *Current Funding Opportunities* for Academic Research in CARS.

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

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

8.2.16. Previous Summary Statement

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

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

8.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Language:** English.
- **Document Format:** PDF only.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Line Spacing:** Single.
- **Page Size:** 8.5 x 11 inches.
- **Margins:** 0.75 inch, all directions.
- **Color and High-Resolution Images:** Images, graphs, figures, and other illustrations must be must be submitted as part of the appropriate submitted document. Applicants should include text to explain illustrations that may be difficult to interpret when printed in black and white.
- **Scanning Resolution:** Images and figures must be of lowest reasonable resolution that permits clarity and readability. Unnecessarily large files will NOT be accepted, especially those that include only text.
- **References:** Applicants should use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters

are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

Smith, P.T., Doe, J., White, J.M., et al (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research*, 135: 45–67.

- **Internet URLs:** Applicants are encouraged to provide the URLs of publications referenced in the application; however, applicants should not include URLs directing reviewers to websites containing additional information about the proposed research.
- **Headers and Footers:** These should not be used unless they are part of a provided template. Page numbers may be included in the footer (see following point).
- **Page Numbering:** Pages should be numbered at the bottom right corner of each page.
- All attachments that require signatures must be filled out, printed, signed, scanned, and then uploaded in PDF format.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers' interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed in section 9.4. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

9.3. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Research Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be

considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

Applicant Investigator: Does the applicant investigator demonstrate the required creativity and expertise to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage–specific fashion. Have early-career–stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percent effort) to this project?

Relevance: Does the proposed research have a high degree of relevance to cancer research? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. Secondary Criteria

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed research.
Secondary criteria include the following:

Research Environment: Does the research team have the needed expertise, facilities, and resources to accomplish all aspects of the proposed research? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support of the research team and the project?

Vertebrate Animals and/or Human Subjects: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

Budget: Is the budget appropriate for the proposed work?

Duration: Is the stated duration appropriate for the proposed work?

10. KEY DATES

RFA

RFA release	January 10, 2019

Application

Online application opens	March 7, 2019, 7 AM central time
Application due	June 5, 2019, 4 PM central time
Application review	June 2019–February 2020

Award

Award notification	February 2020
Anticipated start date	March 1, 2020

11. AWARD ADMINISTRATION

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.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 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements regarding demonstration of available funding. 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.

13. CONTACT INFORMATION

13.1. Helpdesk

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

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 any other funding opportunity, should be directed to the CPRIT Senior 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)
Basic Cancer Research - 2 Peer Review Meeting
(20.1_ACR_BCR-2)
Observation Report

Report No.	2019-10-17 20.1_ACR_BCR-2
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2)
Panel Date:	10-17-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 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

One (1) BFS independent observer 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: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. 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,

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)
Basic Cancer Research - 1 Peer Review Meeting
(20.1_ACR_BCR-1)
Observation Report

Report No.	2019-10-18 20.1_ACR_BCR-1
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1)
Panel Date:	10-18-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 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

One (1) BFS independent observer 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: Sixteen (16) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2) and one (1) CPRIT Oversight Committee Member
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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,

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) Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) Observation Report

Report No.	2019-10-21 20.1_ACR_CB
Program Name:	Academic Research
Panel Name:	Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB)
Panel Date:	10-21-2019
Report Date:	10-31-2019

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 Basic Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 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 observer 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: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)

Observation Report

Report No.	2019-10-22 20.1_ACR_CPR
Program Name:	Academic Research
Panel Name:	Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)
Panel Date:	10-22-2019
Report Date:	10-28-2019

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 Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 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

One (1) BFS independent observer 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: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

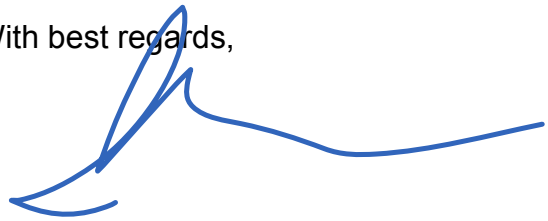
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

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,



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)

Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)

Observation Report

Report No.	2019-10-23 20.1_ACR_ITI
Program Name:	Academic Research
Panel Name:	Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)
Panel Date:	10-23-2019
Report Date:	10-31-2019

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 Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 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

One (1) BFS independent observer 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: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)

Observation Report

Report No.	2019-10-24 20.1_ACR_CTCR
Program Name:	Academic Research
Panel Name:	Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)
Panel Date:	10-24-2019
Report Date:	10-31-2019

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 Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 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

One (1) BFS independent observer 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: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)
Scientific Review Council (SRC 20.1)
Observation Report

Report No.	2019-12-12 SRC_20.1
Program Name:	Academic Research
Panel Name:	Scientific Review Council (SRC_20.1)
Panel Date:	12-12-2019
Report Date:	12-17-2019

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 Scientific Review Council (SRC_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 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: Forty-nine (49) 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) COI 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,

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

CPRIT Academic Research 20.1 Applications

Academic Research Cycle 20.1 Awards Announced at February 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards, Individual Investigator Research Awards for Cancer in Children and Adolescents, Individual Investigator Research Awards for Clinical Translation,* and *Individual Investigator Research Awards for Prevention and Early Detection.* 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:			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

Application ID	Applicant/PI	Institution	Conflict Noted
RP200233	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson
RP200456	Changho Choi	The University of Texas Southwestern Medical Center	Anna Wu
RP200058pe	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200432pe	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200432	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200356pe	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200356	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200025pe	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP200025	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee:			
RP200006pe	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200018pe	Alexander Pertsemlidis	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200089pe	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200111pe	Xiaojing Wang	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200114pe	Luiz Penalva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200143pe	David Libich	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200144pe	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200215pe	Ratna Vadlamudi	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200239pe	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200382pe	Patricia Dahia	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200398pe	Ann Griffith	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200416pe	Kyuson Yun	The Methodist Hospital Research Institute	Kristin Swanson
RP200436pe	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia ; Kristin Swanson
RP200436	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Kristin Swanson
RP200063pe	WEIXING ZHAO	The University of Texas Health Science Center at San Antonio	Alan Tomkinson;W. Chazin
RP200092pe	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200092	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200107pe	Samy Habib	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200169pe	Guo-Min Li	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200279pe	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200279*	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200367pe	Elizabeth Goldsmith	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200391pe	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200391	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy
RP200056pe	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200056	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200077pe	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200077	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200221pe	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200221*	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200094pe	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200094	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200099pe	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200099*	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200115pe	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200115	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200141pe	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200141	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200159pe	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200159	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200193pe	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200193	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200238pe	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200238	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200260pe	Yi-Qian Nancy You	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305pe	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200336pe	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200336	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200441pe	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200441*	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200021pe	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200021	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200057pe	Kenneth Hoyt	The University of Texas at Dallas	Anna. Wu
RP200154pe	Kevin Burgess	Texas A&M University	Weibo Cai
RP200161pe	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200161	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco
RP200167pe	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200167	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200180pe	Joseph Maldjian	The University of Texas Southwestern Medical Center	Anna Wu
RP200192pe	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200192	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200214pe	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200214	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200256pe	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200280pe	Guiyang Hao	The University of Texas Southwestern Medical Center	Anna Wu
RP200351pe	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200351*	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200375pe	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200375	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200479pe	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200479	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200495pe	Yujie Chi	The University of Texas at Arlington	Anna Wu
RP200497pe	Justyn Jaworski	The University of Texas at Arlington	Anna Wu
RP200497	Justyn Jaworski	The University of Texas at Arlington	Anna Wu

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200291	Marina Konopleva	The University of Texas M. D. Anderson Cancer Center	Charles Mullighan
RP200408	Cullen Taniguchi	The University of Texas M. D. Anderson Cancer Center	Anne Tonachel

De-Identified Overall Evaluation Scores

Individual investigator Research Awards for Clinical Translation

Academic Research Cycle 20.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP200173*	2.0
RP200369*	2.0
RP200356*	2.6
ma**	2.9
Mb	3.3
Mc	3.5
Md	3.7
Me	3.7
Mf	4.0
Mg	4.3
Mh	4.3
Mi	4.3
Mj	4.7

* = Recommended for award

** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Individual Investigator Research Awards for Clinical Translation

Academic Research Cycle 20.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Scores for Preliminary Evaluation
Caa	4.00
Cab	4.33
Cac	4.33
Cad	4.67
Cae	4.67
Caf	4.67
Cag	4.67
Cah	4.67
Cai	4.67
Caj	5.00
Cak	5.00
Cal	5.00
Cam	5.33
Can	5.33

Final Overall Evaluation Scores and Rank Order Scores

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San Diego

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Ludwig Institute for Cancer Research Ltd

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

The SRC met on December 12, 2019 to consider the applications recommended by the peer review panels following their meetings that were held October 17, 2019 – October 24, 2019.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is $49,554,090.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,

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

Attachment

Rank	Application ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	$900,000
2	RP200093	IIRA	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	$900,000
3	RP200081	IIRA	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	$900,000
4	RP200395	IIRA	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	$900,000
5	RP200233	IIRA	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	$900,000
6	RP200120	IIRA	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	$900,000
7	RP200023	IIRA	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	$900,000
8	RP200271	IIRA	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I–Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	$900,000

9	RP200103	IIRACCA	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	$1,137,104
10	RP200401	IIRA	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	$900,000
11	RP200170	IIRA	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	$900,000
12	RP200467	IIRA	2.0	SREBP-2–Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	$900,000
13	RP200197	IIRA	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	$900,000
14	RP200173	IIRACT	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	$2,067,105
15	RP200369	IIRACT	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	$1,200,000
16	RP200223	IIRA	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	$887,713
17	RP200021	IIRA	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	$900,000
18	RP200402	IIRA	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	$899,847
19	RP200390	IIRA	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	$898,872

20	RP200284	IIRA	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	$899,959
21	RP200110	IIRACCA	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	$1,200,000
22	RP200235	IIRA	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	$900,000
23	RP200150	IIRA	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	$900,000
24	RP200452	IIRA	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	$900,000
25	RP200315	IIRA	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	$900,000
26	RP200409	IIRAP	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	$890,502

27	RP200381	IIRACCA	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	$1,444,593
28	RP200443	IIRA	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	$897,527
29	RP200456	IIRA	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	$899,651
30	RP200287	IIRA	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	$900,000
31	RP200181	IIRA	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	$900,000
32	RP200047	IIRA	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	$900,000
33	RP200118	IIRA	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	$900,000

34	RP200356	IIRACT	2.6	Circulating Tumor DNA–Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	$2,399,998
35	RP200439	IIRA	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	$900,000
36	RP200432	IIRACCA	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	$1,196,214
37	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	$899,985
38	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	$702,581
39	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	$900,000
40	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	$754,398
41	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition–Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	$1,199,997
42	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	$900,000
43	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	$1,198,659

44	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	$896,896
45	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	$1,200,000
46	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	$899,020
47	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	$900,000
48	RP200240	IIRA	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	$899,999
49	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	$1,483,470

IIRA: Individual Investigator Research Awards
IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents
IIRAP: Individual Investigator Research Awards for Prevention and Early Detection
IIRACT: Individual Investigator Research Awards for Clinical Translation

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Individual Investigator Research Awards for Prevention and Early Detection

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-20.1-IIRAP

Individual Investigator Research Awards for Prevention and Early Detection

Please also refer to the Instructions for Applicants document, which will be posted on March 7, 2019

Application Receipt Opening Date: March 7, 2019

Application Receipt Closing Date: June 5, 2019

FY 2020
Fiscal Year Award Period
September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 1/10/19 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

- Expand access to innovative clinical trials

2. RATIONALE

A major opportunity for investment in cancer research is in the area of cancer prevention. Nowhere is there greater potential to reduce the burden of cancer than by reducing its incidence. This has the added advantage of sparing people and families from the psychological and emotional trauma of a cancer diagnosis, the often devastating physical consequences of cancer therapies, and the financial burdens associated with cancer treatment.

Identification of causes of cancer, including environmental chemicals, microbial agents, and genetic susceptibilities, is essential for reducing cancer incidence. In addition, intervening in the process at early stages of cancer development, before genetic instability becomes widespread, holds promise of successfully eliminating cells destined to become cancer cells. Basic research on the identification and control of premalignant cells, the role of the tumor cell microenvironment in tumor development, environmental drivers, and predictive markers of cancer progression from normal to neoplastic may provide new avenues for intervening early in the process of cancer development. Early detection of cancer using biomarkers and early screening methods also can reduce morbidity and mortality from cancer.

Although CPRIT is required to spend 10% of its budget on cancer prevention, CPRIT's Cancer Prevention Program focuses exclusively on the delivery of evidence-based interventions to underserved populations and does not fund prevention research. Thus, there is a unique opportunity for CPRIT's Academic Research Program to fund research on adoption of cancer-preventing behaviors, effectiveness of various interventions, and how best to deliver prevention services that could eventually result in implementation through the Prevention Program.

3. RESEARCH OBJECTIVES

This Request for Applications (RFA) solicits applications for innovative research projects addressing questions that will advance current knowledge of the causes, prevention, early-stage progression from normal to neoplastic cells, and/or the early detection of cancer. Research projects that propose to conduct implementation research designed to accelerate the adoption and deployment of sustainable, evidence-based cancer prevention and screening interventions at multiple levels and in different clinical and community settings are encouraged.

Applications may address any topic or issue related to cancer causation, prevention, early progression, early detection, or implementation of evidence based interventions. Research may be laboratory-, clinical-, or population-based and may include behavioral/intervention, dissemination, or health services/outcomes research to reduce cancer incidence or promote early detection. CPRIT expects the outcomes of activities supported by this mechanism to reduce the burden of cancer in the near or long term. CPRIT encourages applications that seek to apply or develop state-of-the-art technologies, tools, and/or resources for prevention or early detection of cancer, including those with potential commercialization opportunities. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Partnering with cancer biologists or oncologists is highly recommended for Principal Investigators (PIs) who do not have this expertise.

The subject of applications may include, but is not limited to, the following:

- Environmental carcinogenesis, including high-throughput methods for carcinogen detection and identification of carcinogens and their mechanisms of action
- Role of microbial agents in cancer causation
- Cancer epidemiology
- Identification of populations at high risk of developing cancer
- Cellular and molecular alterations leading to development of precancerous lesions
- Approaches to prevent progression of normal to preneoplastic cells to cancer cells
- Methods for early detection of cancer
- Development and testing of intervention strategies to increase access to and improve recently endorsed screening technologies for cancer
- Cancer-focused health services/outcomes or patient-centered outcomes research
- Development and adaptation of novel interventions for effective and efficient delivery of cancer prevention and screening services

The *degree of relevance* to reducing the burden of cancer is a critical criterion for evaluation of projects for funding by CPRIT (section 9.4.1).

4. FUNDING INFORMATION

Applicants may request a maximum of $300,000 in total costs per year for up to 3 years for laboratory and clinical research and up to $500,000 in total costs per year for up to 3 years for

population-based research, including implementation research designed to accelerate the adoption and deployment of sustainable, evidence-based cancer prevention and screening interventions at multiple levels and in different clinical and community settings. Exceptions to these limits may be requested if extremely well justified (see section 8.2.10). Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The PI must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may not submit applications to this RFA and to RFA-R-20.1-IIRA, RFA-R-20.1-IIRACCA, or RFA R-20.1-IIRACT. Only 1 IIRA, IIRACT, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle.
- An individual may serve as a PI on no more than 3 active CPRIT Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers MIRA Project Co-PIs equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be March 1, 2020).

- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-20.1-IIRACT, RFA-R-20.1-IIRA, or RFA-R-20.1-IIRACCA.
- Applications that address untargeted research, Cancers in Children and Adolescents, or Clinical Translation should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included. Collaborators should have specific and well-defined roles.
- Collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds 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.

6. RESUBMISSION POLICY

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

7. RENEWAL POLICY

An application funded by CPRIT under this mechanism may be submitted for a competitive renewal. An application originally funded by CPRIT as an IIRA that is appropriate for the IIRAP mechanism may be submitted under this RFA for a competitive renewal. See section 8.2.6. Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See section 9.2.

8. RESPONDING TO THIS RFA

8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (https://CPRITGrants.org). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 7, 2019, and must be submitted by 4 PM

central time on June 5, 2019. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

8.1.1. Submission Deadline Extension

The submission deadline may be extended upon a showing of extenuating circumstances. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk, within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

8.2. Application Components

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

8.2.1. Abstract and Significance (5,000 characters)

It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see section 9.1).** Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Clearly address how the proposed project, if successful, will have a major impact on cancer. Summarize how the proposed research creates

new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson's summary. The layperson's summary will also be used by advocate reviewers (section 9.2) in evaluating the significance and impact of the proposed work.

8.2.3. Goals and Objectives

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

8.2.4. Timeline (1 page)

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

If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

8.2.5. Resubmission Summary (2 pages)

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

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

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

8.2.6. Renewal Summary (2 pages)

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

8.2.7. Research Plan (10 pages)

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

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

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

8.2.8. Vertebrate Animals and/or Human Subjects (2 pages)

If vertebrate animals will be used, provide a detailed plan of the protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

8.2.9. Publications/References

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

8.2.10. Budget and Justification

Provide a compelling and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Do not exceed $300,000 per year for laboratory and clinical studies, and $500,000 for population-based studies, including implementation research designed to accelerate the adoption and deployment of sustainable, evidence-based cancer prevention and screening interventions at multiple levels and in different clinical and community settings. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. Reasonable budgets clearly work in favor of the applicant.

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov. So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2020 is $200,000; CPRIT FY 2020 is from September 1, 2019, through August 31, 2020. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent

on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

8.2.11. Biographical Sketches (5 pages each)

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

8.2.12. Current and Pending Support

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided. Refer to the sample current and pending support document located in *Current Funding Opportunities* for Academic Research in CARS.

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

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

8.2.14. Previous Summary Statement

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

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

8.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Language:** English.
- **Document Format:** PDF only.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Line Spacing:** Single.
- **Page Size:** 8.5 x 11 inches.
- **Margins:** 0.75 inch, all directions.
- **Color and High-Resolution Images:** Images, graphs, figures, and other illustrations must be must be submitted as part of the appropriate submitted document. Applicants should include text to explain illustrations that may be difficult to interpret when printed in black and white.
- **Scanning Resolution:** Images and figures must be of lowest reasonable resolution that permits clarity and readability. Unnecessarily large files will NOT be accepted, especially those that include only text.
- **References:** Applicants should use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

  Smith, P.T., Doe, J., White, J.M., et al (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research*, 135: 45–67.
- **Internet URLs:** Applicants are encouraged to provide the URLs of publications referenced in the application; however, applicants should not include URLs directing reviewers to websites containing additional information about the proposed research.
- **Headers and Footers:** These should not be used unless they are part of a provided template. Page numbers may be included in the footer (see following point).
- **Page Numbering:** Pages should be numbered at the bottom right corner of each page.
- All attachments that require signatures must be filled out, printed, signed, scanned, and then uploaded in PDF format.

9. APPLICATION REVIEW

9.1. Preliminary Evaluation

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

This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers' interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.

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

9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed in section 9.4. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an

open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

9.3. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Research Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

9.4. Review Criteria

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

9.4.1. Primary Criteria

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

Significance and Impact: Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

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

Applicant Investigator: Does the applicant investigator demonstrate the required creativity and expertise to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage–specific fashion. Have early-career–stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percent effort) to this project?

Relevance: Does the proposed research have a high degree of relevance to cancer prevention research or early detection? This is a critical criterion for evaluation of projects for CPRIT support.

9.4.2. Secondary Criteria

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

Secondary criteria include the following:

Research Environment: Does the research team have the needed expertise, facilities, and resources to accomplish all aspects of the proposed research? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support of the research team and the project?

Vertebrate Animals and/or Human Subjects: Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

Budget: Is the budget appropriate for the proposed work?

Duration: Is the stated duration appropriate for the proposed work?

10. KEY DATES

RFA

RFA release	January 10, 2019

Application

Online application opens	March 7, 2019, 7 AM central time
Application due	June 5, 2019, 4 PM central time
Application review	June 2019–February 2020

Award

Award notification	February 2020
Anticipated start date	March 1, 2020

11. AWARD ADMINISTRATION

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

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

institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements regarding demonstration of available funding. 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.

13. CONTACT INFORMATION

13.1. Helpdesk

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

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 any other funding opportunity, should be directed to the CPRIT Senior 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)
Basic Cancer Research - 2 Peer Review Meeting
(20.1_ACR_BCR-2)
Observation Report

Report No.	2019-10-17 20.1_ACR_BCR-2
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2)
Panel Date:	10-17-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 2 Peer Review Meeting (20.1_ACR_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 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

One (1) BFS independent observer 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: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. 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,

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)
Basic Cancer Research - 1 Peer Review Meeting
(20.1_ACR_BCR-1)
Observation Report

Report No.	2019-10-18 20.1_ACR_BCR-1
Program Name:	Academic Research
Panel Name:	Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1)
Panel Date:	10-18-2019
Report Date:	10-22-2019

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 Basic Cancer Research – 1 Peer Review Meeting (20.1_ACR_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 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

One (1) BFS independent observer 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: Sixteen (16) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2) and one (1) CPRIT Oversight Committee Member
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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,

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) Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) Observation Report

Report No.	2019-10-21 20.1_ACR_CB
Program Name:	Academic Research
Panel Name:	Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB)
Panel Date:	10-21-2019
Report Date:	10-31-2019

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 Basic Cancer Biology (CB) Peer Review Meeting (20.1_ACR_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 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 observer 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: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)

Observation Report

Report No.	2019-10-22 20.1_ACR_CPR
Program Name:	Academic Research
Panel Name:	Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR)
Panel Date:	10-22-2019
Report Date:	10-28-2019

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 Cancer Prevention Research (CPR) Peer Review Meeting (20.1_ACR_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 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

One (1) BFS independent observer 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: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

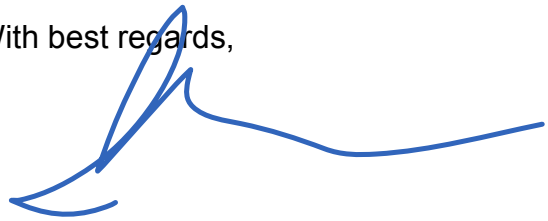
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

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,



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)

Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)

Observation Report

Report No.	2019-10-23 20.1_ACR_ITI
Program Name:	Academic Research
Panel Name:	Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI)
Panel Date:	10-23-2019
Report Date:	10-31-2019

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 Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1_ACR_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 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

One (1) BFS independent observer 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: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)

Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)

Observation Report

Report No.	2019-10-24 20.1_ACR_CTCR
Program Name:	Academic Research
Panel Name:	Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR)
Panel Date:	10-24-2019
Report Date:	10-31-2019

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 Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1_ACR_ C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 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

One (1) BFS independent observer 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: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- 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 three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)
Scientific Review Council (SRC 20.1)
Observation Report

Report No.	2019-12-12 SRC_20.1
Program Name:	Academic Research
Panel Name:	Scientific Review Council (SRC_20.1)
Panel Date:	12-12-2019
Report Date:	12-17-2019

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 Scientific Review Council (SRC_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 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: Forty-nine (49) 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) COI 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,

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

CPRIT Academic Research 20.1 Applications

Academic Research Cycle 20.1 Awards Announced at February 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards, Individual Investigator Research Awards for Cancer in Children and Adolescents, Individual Investigator Research Awards for Clinical Translation,* and *Individual Investigator Research Awards for Prevention and Early Detection.* 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:			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

Application ID	Applicant/PI	Institution	Conflict Noted
RP200233	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson
RP200456	Changho Choi	The University of Texas Southwestern Medical Center	Anna Wu
RP200058pe	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200432pe	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200432	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200356pe	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200356	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200025pe	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP200025	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
Applications not considered by the PIC or Oversight Committee:			
RP200006pe	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200018pe	Alexander Pertsemlidis	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200089pe	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200111pe	Xiaojing Wang	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200114pe	Luiz Penalva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200143pe	David Libich	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200144pe	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200215pe	Ratna Vadlamudi	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200239pe	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200382pe	Patricia Dahia	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200398pe	Ann Griffith	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200416pe	Kyuson Yun	The Methodist Hospital Research Institute	Kristin Swanson
RP200436pe	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia ; Kristin Swanson
RP200436	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Kristin Swanson
RP200063pe	WEIXING ZHAO	The University of Texas Health Science Center at San Antonio	Alan Tomkinson;W. Chazin
RP200092pe	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200092	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200107pe	Samy Habib	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200169pe	Guo-Min Li	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200279pe	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200279*	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200367pe	Elizabeth Goldsmith	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200391pe	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200391	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy
RP200056pe	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200056	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200077pe	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200077	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200221pe	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200221*	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200094pe	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200094	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200099pe	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200099*	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200115pe	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200115	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200141pe	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200141	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200159pe	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200159	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200193pe	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200193	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200238pe	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200238	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200260pe	Yi-Qian Nancy You	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305pe	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200336pe	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200336	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200441pe	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200441*	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200021pe	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200021	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200057pe	Kenneth Hoyt	The University of Texas at Dallas	Anna. Wu
RP200154pe	Kevin Burgess	Texas A&M University	Weibo Cai
RP200161pe	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200161	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco
RP200167pe	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200167	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200180pe	Joseph Maldjian	The University of Texas Southwestern Medical Center	Anna Wu
RP200192pe	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200192	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200214pe	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200214	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200256pe	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200280pe	Guiyang Hao	The University of Texas Southwestern Medical Center	Anna Wu
RP200351pe	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200351*	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200375pe	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200375	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200479pe	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200479	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200495pe	Yujie Chi	The University of Texas at Arlington	Anna Wu
RP200497pe	Justyn Jaworski	The University of Texas at Arlington	Anna Wu
RP200497	Justyn Jaworski	The University of Texas at Arlington	Anna Wu

*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200291	Marina Konopleva	The University of Texas M. D. Anderson Cancer Center	Charles Mullighan
RP200408	Cullen Taniguchi	The University of Texas M. D. Anderson Cancer Center	Anne Tonachel

De-Identified Overall Evaluation Scores

Individual investigator Research Awards for Prevention and Early Detection

Academic Research Cycle 20.1

Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP200409*	2.4
na**	3.0
nb**	3.1
Nc	3.4
Nd	3.5
Ne	3.6
Nf	3.6
Ng	4.0
Nh	4.1
Ni	4.2
Nj	4.4
Nk	4.5
Nl	4.6
Nm	4.6
Nn	4.7
No	4.7
Np	4.7
Nq	4.7
Nr	4.7
Ns	4.7
Nt	5.1
Nu	5.3
Nv	5.3

* = Recommended for award

** = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) to a future FY2020 PIC meeting date.

Individual Investigator Research Awards for Prevention and Early Detection

Academic Research Cycle 20.1

Final Scores for Preliminary Evaluation

These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.

Application ID	Final Scores for Preliminary Evaluation
Daa	4.00
Dab	4.33
Dac	4.33
Dad	4.33
Dae	4.67
Daf	4.67
Dag	5.00
Dah	5.00
Dai	5.33
Daj	5.33
Dak	5.67
Dal	5.67
Dam	6.33
dan	8.00

Final Overall Evaluation Scores and Rank Order Scores

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Ludwig Institute for Cancer Research Ltd

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San Diego Branch

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

The SRC met on December 12, 2019 to consider the applications recommended by the peer review panels following their meetings that were held October 17, 2019 – October 24, 2019.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is $49,554,090.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,

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

Attachment

Rank	Application ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	$900,000
2	RP200093	IIRA	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	$900,000
3	RP200081	IIRA	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	$900,000
4	RP200395	IIRA	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	$900,000
5	RP200233	IIRA	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	$900,000
6	RP200120	IIRA	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	$900,000
7	RP200023	IIRA	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	$900,000
8	RP200271	IIRA	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I–Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	$900,000

9	RP200103	IIRACCA	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	$1,137,104
10	RP200401	IIRA	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	$900,000
11	RP200170	IIRA	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	$900,000
12	RP200467	IIRA	2.0	SREBP-2–Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	$900,000
13	RP200197	IIRA	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	$900,000
14	RP200173	IIRACT	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	$2,067,105
15	RP200369	IIRACT	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	$1,200,000
16	RP200223	IIRA	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	$887,713
17	RP200021	IIRA	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	$900,000
18	RP200402	IIRA	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	$899,847
19	RP200390	IIRA	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	$898,872

20	RP200284	IIRA	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	$899,959
21	RP200110	IIRACCA	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	$1,200,000
22	RP200235	IIRA	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	$900,000
23	RP200150	IIRA	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	$900,000
24	RP200452	IIRA	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	$900,000
25	RP200315	IIRA	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	$900,000
26	RP200409	IIRAP	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	$890,502

27	RP200381	IIRACCA	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	$1,444,593
28	RP200443	IIRA	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	$897,527
29	RP200456	IIRA	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	$899,651
30	RP200287	IIRA	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	$900,000
31	RP200181	IIRA	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	$900,000
32	RP200047	IIRA	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	$900,000
33	RP200118	IIRA	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	$900,000

34	RP200356	IIRACT	2.6	Circulating Tumor DNA–Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	$2,399,998
35	RP200439	IIRA	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	$900,000
36	RP200432	IIRACCA	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	$1,196,214
37	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	$899,985
38	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	$702,581
39	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	$900,000
40	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	$754,398
41	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition–Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	$1,199,997
42	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	$900,000
43	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	$1,198,659

44	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	$896,896
45	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	$1,200,000
46	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	$899,020
47	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	$900,000
48	RP200240	IIRA	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	$899,999
49	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	$1,483,470

IIRA: Individual Investigator Research Awards
IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents
IIRAP: Individual Investigator Research Awards for Prevention and Early Detection
IIRACT: Individual Investigator Research Awards for Clinical Translation

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycles 4 through 6
Recruitment of Established Investigators

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-20.1-REI

Recruitment of Established Investigators

Please also refer to the Instructions for Applicants document, which will be posted on June 21, 2019

Application Receipt Dates:

June 21, 2019-June 20, 2020

FY 2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 6/21/19 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
- 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

- Expand access to innovative clinical trials

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, hepatocellular cancer, and expansion of access to innovative clinical trials.

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.

Applications nominating individuals who carry out patient-oriented research and who have demonstrated exceptional ability to lead innovative discovery campaigns through conduct of clinical trials are appropriate for this mechanism and encouraged.

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, publications, 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. 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 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 $6,000,000 (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. Scholars may request funds for travel for 2 project staff to attend CPRIT's conference.

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 grant application submissions by Institutions 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 2020 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, 2020) or in the first quarter of the next fiscal year (starting September 1, 2020).

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 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 FY20. 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.

The following guidelines should be followed when documenting the institutional commitment to the candidate:

- The institutional commitment should be clearly documented 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.

- Institutional Commitment as described above must be presented in a table (example below), that clearly identifies the salary amount, sources of salary, and any additional research support from institutional sources over the course of the CPRIT award.
- Include a brief job description for the candidate should recruitment be successful.
- Describe the institutional environment and any professional commitments to the candidate including but not limited to dedicated personnel, access to students, space assignment, and access to shared equipment, and discuss all other agreements between the institution and the candidate.
- 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 highly 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 its 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 cannot be used to demonstrate an institutional commitment to the candidate.

Example of an acceptable Institutional Commitment table:

Candidate's Name, Institutional Commitments					
	Year 1	Year 2	Year 3	Year 4	Year 5
Salary/Benefits					
Research Support					
Administrative Support					
Moving Expenses					

Total =

Note: CPRIT acknowledges that the Institutional Commitments by category may change during the course of the award; however, the total financial commitment to the candidate must remain equal to or greater than 50% of the CPRIT award.

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 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 not allowed after the application is submitted to CPRIT."

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 highly 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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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

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

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

10. KEY DATES

RFA

RFA Release June 21, 2019

Application Receipt and Review Timeline

Application Receipt System opens 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 21, 2019	Continuous – dependent upon available funding	Monthly by the 15th day of the month	June 20, 2020

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 Texas Administrative Code, Title 25, Chapters 701 to 703.

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 Texas Administrative Code, Title 25, Chapters 701 to 703.

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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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. CPRIT requires funding acknowledgement on all print and visual materials, which are funded in whole or in part by CPRIT grants. Examples of print and visual materials include, but are not limited to publications, brochures, pamphlets, project websites, videos, and media materials. **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, Texas Administrative Code, Title 25, Chapters 701 to 703, 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 - 20.4-5 Peer Review Meeting
(REC_20.4-5)
Observation Report

Report No.	2019-12-12 REC_20.4-5
Program Name:	Academic Research
Panel Name:	Recruitment Review Panel - 20.4-5 Peer Review Meeting (REC_20.4-5)
Panel Date:	12-12-2019
Report Date:	12-13-2019

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 - 20.4-5 Peer Review Meeting (REC_20.4-5) meeting. The meeting was chaired by Richard Kolodner and conducted teleconference on December 12, 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 observer 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: Six (6) applications were discussed
- Panelists: One (1) panel chair, five (5) expert reviewers and zero (0) advocate reviewer
- 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 was one (1) COI identified prior to and/or during the meeting. The COI was 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,

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 20.6 (REC_20.6)
Observation Report

Report No.	2020-1-16 REC_20.6
Program Name:	Academic Research
Panel Name:	Recruitment Review Panel - 20.6 (REC_20.6)
Panel Date:	01-16-2020
Report Date:	01-21-2020

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 - 20.6 (REC_20.6) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on January 16, 2020.

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: Five (5) applications were discussed
- Panelists: One (1) panel chair and four (4) 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 was one (1) COI identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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

CPRIT Academic Research Recruitment Cycles 20.4-6 Applications

Academic Research Recruitment Cycles 20.4-6 Awards Announced at February 19, 2020, 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 20.4-20.6 include *Recruitment of Rising Stars; Recruitment of Established Investigators;* and *Recruitment of First-Time, Tenure-Track Faculty Members.* 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			
RR200029	Draetta, Gulio	The University of Texas M.D. Anderson Cancer Center	Richard O'Reilly
RR200035	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	Myles Brown
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 20.4-6

Application ID	Final Overall Evaluation Score
RR200032*	2.0

* = Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

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CANCER
RESEARCH

San Diego

ludwigcancerresearch.org

Ludwig Institute for Cancer Research Ltd

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on December 12, 2019 (REC Cycle 20.4 and 20.5) and on January 16, 2020 (REC Cycle 20.6) to review 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 is $16,000,000.

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

Sincerely yours,

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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR200029	Eric Smith, M.D., Ph.D.	RFTFM	The University of Texas M.D. Anderson Cancer Center	$2,000,000	1.5
2	RR200025	Anna-Karin Gustavsson, Ph.D.	RFTFM	Rice University	$2,000,000	1.5
3	RR200030	Shaun Olsen, Ph.D.	RRS	The University of Texas Health Science Center at San Antonio	$4,000,000	2.0
4	RR200032	Karl Scheid, Ph.D.	REI	The University of Texas at San Antonio	$6,000,000	2.0
5	RR200035	Adam Durbin, M.D., Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	$2,000,000	2.0

REI- Recruitment of Established Investigators
RRS- Recruitment of Rising Starts
RFTFM- Recruitment of First-Time Tenure Track Faculty Members

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycles 4 through 6
Recruitment of First-Time, Tenure-Track Faculty Members

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-20.1-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, 2019

Application Receipt Dates:

June 21, 2019-June 20, 2020

FY2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 6/21/19 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
- 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

- Expand access to innovative clinical trials

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, hepatocellular cancer, and expansion of access to innovative clinical trials.

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.

Applications nominating individuals who are well prepared to pursue careers in patient-oriented research and who have demonstrated exceptional potential to lead innovative discovery campaigns through conduct of clinical trials are appropriate for this mechanism and encouraged.

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, publications, 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. 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. Scholars may request funds for travel for 2 project staff to attend CPRIT's conference.

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 grant application submissions by Institutions 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, 2020) or in the first quarter of the next fiscal year (starting September 1, 2020).

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.
- *Applications nominating a candidate for a faculty position at the Texas institution where he or she is completing postdoctoral training that do not clearly demonstrate a*

subsequent career pathway to independence for the candidate will not be looked upon with favor.

- 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.

Dependent upon available funding, applications will be accepted on a continuous basis throughout FY20. 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 following guidelines should be followed when documenting the institutional commitment to the candidate:

- The institutional commitment should be clearly documented 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.
- Institutional Commitment as described above must be presented in a table (example below), that clearly identifies the salary amount, sources of salary, and any additional research support from institutional sources over the course of the CPRIT award.
- Include a brief job description for the candidate should recruitment be successful.
- Describe the institutional environment and any professional commitments to the candidate including but not limited to dedicated personnel, access to students, space assignment, and access to shared equipment, and discuss all other agreements between the institution and the candidate.

- 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 highly 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 its 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 cannot be used to demonstrate an institutional commitment to the candidate.

Example of an acceptable Institutional Commitment table:

Candidates Name, Institutional Commitments					
	Year 1	Year 2	Year 3	Year 4	Year 5
Salary/Benefits					
Research Support					
Administrative Support					
Moving Expenses					

Total =

Note: CPRIT acknowledges that the Institutional Commitments by category may change during the course of the award; however, the total financial commitment to the candidate must remain equal to or greater than 50% of the CPRIT award.

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 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 not allowed after the application is submitted to CPRIT.

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 highly 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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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, 2019

Application Receipt and Review Timeline

Application Receipt System opens 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 21, 2019	Continuous – dependent upon available funding	Monthly by the 15th day of the month	June 20, 2020

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 Texas Administrative Code, Title 25, Chapters 701 to 703.

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 Texas Administrative Code, Title 25, Chapters 701 to 703.

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, Texas Administrtive Code, Title 25, Chapters 701 to 703.

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. CPRIT requires funding acknowledgement on all print and visual materials, which are funded in whole or in part by CPRIT grants. Examples of print and visual materials include, but are not limited to publications, brochures, pamphlets, project websites, videos and media materials. **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, Texas Administrative Code, Title 25, Chapters 701 to 703, 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 - 20.4-5 Peer Review Meeting
(REC_20.4-5)
Observation Report

Report No.	2019-12-12 REC_20.4-5
Program Name:	Academic Research
Panel Name:	Recruitment Review Panel - 20.4-5 Peer Review Meeting (REC_20.4-5)
Panel Date:	12-12-2019
Report Date:	12-13-2019

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 - 20.4-5 Peer Review Meeting (REC_20.4-5) meeting. The meeting was chaired by Richard Kolodner and conducted teleconference on December 12, 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 observer 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: Six (6) applications were discussed
- Panelists: One (1) panel chair, five (5) expert reviewers and zero (0) advocate reviewer
- 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 was one (1) COI identified prior to and/or during the meeting. The COI was 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,

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 20.6 (REC_20.6)
Observation Report

Report No.	2020-1-16 REC_20.6
Program Name:	Academic Research
Panel Name:	Recruitment Review Panel - 20.6 (REC_20.6)
Panel Date:	01-16-2020
Report Date:	01-21-2020

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 - 20.6 (REC_20.6) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on January 16, 2020.

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: Five (5) applications were discussed
- Panelists: One (1) panel chair and four (4) 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 was one (1) COI identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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

CPRIT Academic Research Recruitment Cycles 20.4-6 Applications

Academic Research Recruitment Cycles 20.4-6 Awards Announced at February 19, 2020, 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 20.4-20.6 include *Recruitment of Rising Stars; Recruitment of Established Investigators;* and *Recruitment of First-Time, Tenure-Track Faculty Members.* 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			
RR200029	Draetta, Gulio	The University of Texas M.D. Anderson Cancer Center	Richard O'Reilly
RR200035	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	Myles Brown
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 20.4-6

Application ID	Final Overall Evaluation Score
RR200029*	1.5
RR200025*	1.5
RR200035*	2.0
Ea	3.0
Eb	3.8
Ec	3.9
Ed	4.0

* = Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

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San Diego

ludwigcancerresearch.org

Ludwig Institute for Cancer Research Ltd

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January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on December 12, 2019 (REC Cycle 20.4 and 20.5) and on January 16, 2020 (REC Cycle 20.6) to review 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 is $16,000,000.

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

Sincerely yours,

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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR200029	Eric Smith, M.D., Ph.D.	RFTFM	The University of Texas M.D. Anderson Cancer Center	$2,000,000	1.5
2	RR200025	Anna-Karin Gustavsson, Ph.D.	RFTFM	Rice University	$2,000,000	1.5
3	RR200030	Shaun Olsen, Ph.D.	RRS	The University of Texas Health Science Center at San Antonio	$4,000,000	2.0
4	RR200032	Karl Scheid, Ph.D.	REI	The University of Texas at San Antonio	$6,000,000	2.0
5	RR200035	Adam Durbin, M.D., Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	$2,000,000	2.0

REI- Recruitment of Established Investigators
RRS- Recruitment of Rising Starts
RFTFM- Recruitment of First-Time Tenure Track Faculty Members

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycles 4 through 6
Recruitment of Rising Stars

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-20.1-RRS

Recruitment of Rising Stars

Please also refer to the Instructions for Applicants document, which will be posted on June 21, 2019

Application Receipt Dates:

June 21, 2019-June 20, 2020

FY 2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 6/21/19 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
- 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

- Expand access to innovative clinical trials

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, hepatocellular cancer, and expansion of access to innovative clinical trials.

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.

Applications nominating individuals who carry out patient-oriented research and who have demonstrated exceptional ability to lead innovative discovery campaigns through conduct of clinical trials are appropriate for this mechanism and encouraged.

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, publications, 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. 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 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 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. Scholars may request funds for travel for 2 project staff to attend CPRIT's conference.

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 grant application submissions by Institutions 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 2020 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, 2020) or in the first quarter of the next fiscal year (starting September 1, 2020).

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 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 FY20. 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.

The following guidelines should be followed when documenting the institutional commitment to the candidate:

- The institutional commitment should be clearly documented 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.
- Institutional Commitment as described above must be presented in a table (example below), that clearly identifies the salary amount, sources of salary, and any additional research support from institutional sources over the course of the CPRIT award.
- Include a brief job description for the candidate should recruitment be successful.
- Describe the institutional environment and any professional commitments to the candidate including but not limited to dedicated personnel, access to students, space

assignment, and access to shared equipment, and discuss all other agreements between the institution and the candidate.

- 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 highly 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 its 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 cannot be used to demonstrate an institutional commitment to the candidate.

Example of an acceptable Institutional Commitment table:

Candidate's Name, Institutional Commitments					
	Year 1	Year 2	Year 3	Year 4	Year 5
Salary/Benefits					
Research Support					
Administrative Support					
Moving Expenses					

Total =

Note: CPRIT acknowledges that the Institutional Commitments by category may change during the course of the award; however, the total financial commitment to the candidate must remain equal to or greater than 50% of the CPRIT award.

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 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 <u>signed</u> 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 not allowed after the application is submitted to CPRIT."

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 highly 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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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, 2019

Application Receipt and Review Timeline

Application Receipt System opens 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 21, 2019	Continuous – dependent upon available funding	Monthly by the 15th day of the month	June 20, 2020

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 Texas Administrative Code, Title 25, Chapters 701 to 703.

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 Texas Administrative Code, Title 25, Chapters 701 to 703.

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, Texas Administrative Code, Title 25, Chapters 701 to 703.

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. CPRIT requires funding acknowledgement on all print and visual materials that are funded in whole or in part by CPRIT grants. Examples of print and visual materials include, but are not limited to, publications, brochures, pamphlets, project websites, videos, and media materials. **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, Texas Administrative Code, Title 25, Chapters 701 to 703, 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 - 20.4-5 Peer Review Meeting
(REC_20.4-5)
Observation Report

Report No.	2019-12-12 REC_20.4-5
Program Name:	Academic Research
Panel Name:	Recruitment Review Panel - 20.4-5 Peer Review Meeting (REC_20.4-5)
Panel Date:	12-12-2019
Report Date:	12-13-2019

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 - 20.4-5 Peer Review Meeting (REC_20.4-5) meeting. The meeting was chaired by Richard Kolodner and conducted teleconference on December 12, 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 observer 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: Six (6) applications were discussed
- Panelists: One (1) panel chair, five (5) expert reviewers and zero (0) advocate reviewer
- 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 was one (1) COI identified prior to and/or during the meeting. The COI was 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,

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 20.6 (REC_20.6)
Observation Report

Report No.	2020-1-16 REC_20.6
Program Name:	Academic Research
Panel Name:	Recruitment Review Panel - 20.6 (REC_20.6)
Panel Date:	01-16-2020
Report Date:	01-21-2020

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 - 20.6 (REC_20.6) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on January 16, 2020.

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: Five (5) applications were discussed
- Panelists: One (1) panel chair and four (4) 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 was one (1) COI identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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

CPRIT Academic Research Recruitment Cycles 20.4-6 Applications

Academic Research Recruitment Cycles 20.4-6 Awards Announced at February 19, 2020, 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 20.4-20.6 include *Recruitment of Rising Stars; Recruitment of Established Investigators;* and *Recruitment of First-Time, Tenure-Track Faculty Members.* 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			
RR200029	Draetta, Gulio	The University of Texas M.D. Anderson Cancer Center	Richard O'Reilly
RR200035	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	Myles Brown
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 20.4-6

Application ID	Final Overall Evaluation Score
RR200030*	2.0
Fa	3.4
fb	3.5

* = Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

LUDWIG
CANCER
RESEARCH

San Diego

ludwigcancerresearch.org

Ludwig Institute for Cancer Research Ltd

Richard D. Kolodner Ph.D.

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 0660
La Jolla, CA 92093-0660

T 858 534 7804
F 858 534 7750

January 17, 2020

The Honorable Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on December 12, 2019 (REC Cycle 20.4 and 20.5) and on January 16, 2020 (REC Cycle 20.6) to review 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 is $16,000,000.

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

Sincerely yours,

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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR200029	Eric Smith, M.D., Ph.D.	RFTFM	The University of Texas M.D. Anderson Cancer Center	$2,000,000	1.5
2	RR200025	Anna-Karin Gustavsson, Ph.D.	RFTFM	Rice University	$2,000,000	1.5
3	RR200030	Shaun Olsen, Ph.D.	RRS	The University of Texas Health Science Center at San Antonio	$4,000,000	2.0
4	RR200032	Karl Scheid, Ph.D.	REI	The University of Texas at San Antonio	$6,000,000	2.0
5	RR200035	Adam Durbin, M.D., Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	$2,000,000	2.0

REI- Recruitment of Established Investigators
RRS- Recruitment of Rising Starts
RFTFM- Recruitment of First-Time Tenure Track Faculty Members

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200021
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200021
APPLICATION TITLE: Optimizing Therapeutic Strategies Against Lung Cancer Using Multi-Modality Imaging
APPLICANT NAME: Zhang, Li
ORGANIZATION: The University of Texas at Dallas
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/13/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/24/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/24/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/07/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/21/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/15/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	Anna Wu, Ross Berbeco	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/30/2019
	Primary Reviewer 1 COI signed	09/01/2019	12/30/2019
	Primary Reviewer 2 COI signed	08/31/2019	12/30/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/13/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/15/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/16/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/20/2019	12/30/2019
	COI indicated by non-primary reviewer	Ross Berbeco, Anna Wu	12/30/2019
	COI recused from participation	YES	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	J. Wilson	02/04/2020
	COI recused from participation	YES	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200023
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-06-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200023
APPLICATION TITLE: Off the shelf, Cord-Derived iNK T cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation
APPLICANT NAME: Im, Jin Seon
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/24/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/27/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/17/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/09/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/05/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/06/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/24/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/28/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	09/16/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	09/21/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/21/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200047
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

- The applicable Request for Applications (RFA) for this grant cycle
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- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

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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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200047
APPLICATION TITLE: KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets
APPLICANT NAME: Hancock, John F
ORGANIZATION: The University of Texas Health Science Center at Houston
PANEL NAME: Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/30/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/05/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/07/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/26/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	12/11/2019
	Primary Reviewer 2 critique submitted	NA	12/11/2019
	Primary Reviewer 3 critique submitted	NA	12/11/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/11/2019
	COI indicated by non-primary reviewer	NA	12/11/2019
	Preliminary Evaluation score summary sent to Chair	NA	12/11/2019
	Recommended for full review	NA	12/11/2019
	Applicant notified of outcome	NA	12/11/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/07/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/26/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/08/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/10/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/07/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/03/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/17/2019	12/27/2019
	Post review statements signed	10/17/2019	12/27/2019
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	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
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PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
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	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200081
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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

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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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200081
APPLICATION TITLE: Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma
APPLICANT NAME: Tsai, Robert
ORGANIZATION: Texas A&M University System Health Science Center
PANEL NAME: Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/06/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/05/2019
	Primary Reviewer 1 COI signed	07/17/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/22/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	09/26/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/11/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/20/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
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	Primary Reviewer 1 COI signed	10/04/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/26/2019	12/27/2019
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	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
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	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200093
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200093
APPLICATION TITLE: Targeting multiple myeloma stem cell niche
APPLICANT NAME: McCarty, Nami
ORGANIZATION: The University of Texas Health Science Center at Houston
PANEL NAME: Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/06/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/05/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/17/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/12/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	09/26/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/16/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/30/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/09/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	09/26/2019	12/27/2019
	Primary Reviewer 1 critique submitted	09/25/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/10/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/06/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/17/2019	12/27/2019
	Post review statements signed	10/17/2019	12/27/2019
	Third Party Observer Report	10/22/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200103
Individual Investigator Research Awards for
Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 55 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer two award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Cancer in Children and Adolescents
APPLICATION ID: RP200103
APPLICATION TITLE: Targeting Twist2 pathway as a potential therapy of rhabdomyosarcoma
APPLICANT NAME: Olson, Eric N
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: Basic Cancer Research-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	11/26/2019
	Primary Reviewer 1 COI signed	07/15/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/26/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/14/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/16/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	09/04/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/18/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/08/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/10/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/09/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/19/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/18/2019	12/27/2019
	Post review statements signed	10/18/2019	12/27/2019
	Third Party Observer Report	10/22/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200110
Individual Investigator Research Awards for
Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 55 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer two award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/05/2020 08:01 AM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Cancer in Children and Adolescents
APPLICATION ID: RP200110
APPLICATION TITLE: ALKBH5 as a novel promoter of osteosarcoma growth and metastasis
APPLICANT NAME: Rao, Manjeet K
ORGANIZATION: The University of Texas Health Science Center at San Antonio
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/16/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/23/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/20/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/07/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/04/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/11/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/13/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/12/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	08/30/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/05/2020
	COI recused from participation	NA	02/05/2020
	PIC Review Meeting	02/04/2020	02/05/2020
	Recommended for grant award	YES	02/05/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200118
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200118
APPLICATION TITLE: PPAR-alpha Modulation of DNA Sensing and Interferon Induction
APPLICANT NAME: Reese, Tiffany A
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/31/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/06/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/05/2019
	Primary Reviewer 1 COI signed	07/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/26/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/13/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/23/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/20/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/26/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/09/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/26/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/26/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/09/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/07/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/09/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/17/2019	12/27/2019
	Post review statements signed	10/17/2019	12/27/2019
	Third Party Observer Report	10/22/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200120
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200120
APPLICATION TITLE: Single-Cell evaluation to identify tumor-stroma niches driving the transition from in situ to invasive breast cancer
APPLICANT NAME: Piwnica-Worms, Helen
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/31/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/25/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/15/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/26/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/30/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/27/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/15/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/12/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/11/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200150
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200150
APPLICATION TITLE: Molecular features impacting drug resistance in atypical EGFR exon 18 and exon 20 mutant NSCLC and the development of novel mutant-selective inhibitors
APPLICANT NAME: Heymach, John V
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/30/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/15/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/24/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/02/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/13/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/03/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/21/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200170
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200170
APPLICATION TITLE: Tumor-secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia
APPLICANT NAME: Infante, Rodney
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/29/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/21/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/15/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	10/14/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/27/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/12/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/11/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200173
Individual Investigator Research Awards for Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 29 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer one award recommendation from this mechanism. The deferred application was recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:52 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Clinical Translation
APPLICATION ID: RP200173
APPLICATION TITLE: Modulating the gut-tumor microbial axis to reverse pancreatic cancer immunosuppression
APPLICANT NAME: MCALLISTER, FLORENCIA
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/23/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/24/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/06/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/16/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/06/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/25/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/03/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/15/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/19/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/15/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/10/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200181
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:52 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200181
APPLICATION TITLE: Can microsurgeries cure lymphedema?--an objective assessment
APPLICANT NAME: Aldrich, Melissa B
ORGANIZATION: The University of Texas Health Science Center at Houston
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	07/03/2019	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/23/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/16/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	09/13/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/11/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/14/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/18/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	09/26/2019	12/30/2019
	Primary Reviewer 1 COI signed	08/29/2019	12/30/2019
	Primary Reviewer 2 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	09/13/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/12/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/07/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/17/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/15/2019	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200197
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:52 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200197
APPLICATION TITLE: Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma
APPLICANT NAME: Liang, Shuang
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/15/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/19/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	Heather Christofk	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/27/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/16/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/16/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/12/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/11/2019	12/27/2019
	COI indicated by non-primary reviewer	Heather Christofk	12/27/2019
	COI recused from participation	YES	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200223
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:52 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200223
APPLICATION TITLE: High sensitivity 19F MRI for clinically translatable imaging of adoptive NK cell brain tumor therapy
APPLICANT NAME: Sokolov, Konstantin V
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/31/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/15/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/10/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/21/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/12/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/30/2019
	Primary Reviewer 1 COI signed	09/06/2019	12/30/2019
	Primary Reviewer 2 COI signed	08/31/2019	12/30/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/11/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/15/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/07/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/20/2019	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200233
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200233
APPLICATION TITLE: Advance CT And Fluorescence Imaging Of Kidney Cancers With Glutathione-mediated Contrast Enhancements
APPLICANT NAME: Zheng, Jie
ORGANIZATION: The University of Texas at Dallas
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/26/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/16/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/20/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/21/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/05/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	Anna Wu	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/30/2019
	Primary Reviewer 1 COI signed	09/01/2019	12/30/2019
	Primary Reviewer 2 COI signed	08/31/2019	12/30/2019
	Primary Reviewer 3 COI signed	08/26/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/17/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/15/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/08/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/20/2019	12/30/2019
	COI indicated by non-primary reviewer	Anna Wu	12/30/2019
	COI recused from participation	YES	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	08/22/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	09/27/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	J. Wilson	02/04/2020
	COI recused from participation	YES	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200235
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/05/2020 07:55 AM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200235
APPLICATION TITLE: Investigating the role of CD38 as a mechanism of acquired resistance to immune checkpoint inhibitors in lung cancer
APPLICANT NAME: Gibbons, Don L
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/12/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/27/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/14/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/30/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/24/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/06/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/24/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/03/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/11/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/10/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/05/2020
	COI recused from participation	NA	02/05/2020
	PIC Review Meeting	02/04/2020	02/05/2020
	Recommended for grant award	YES	02/05/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200271
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200271
APPLICATION TITLE: Development of a novel strategy for tumor delivery of MHC-I-compatible peptides for cancer immunotherapy
APPLICANT NAME: Fan, Zhen
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/31/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/22/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/24/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	09/13/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/21/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/14/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/21/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	09/26/2019	12/30/2019
	Primary Reviewer 1 COI signed	09/06/2019	12/30/2019
	Primary Reviewer 2 COI signed	09/09/2019	12/30/2019
	Primary Reviewer 3 COI signed	08/31/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	09/13/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/21/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/09/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/16/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/15/2019	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NA	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200284
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200284
APPLICATION TITLE: Molecular Mechanism of NLRP12-mediated Regulation of Colorectal Cancer
APPLICANT NAME: Zaki, Hasan
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/30/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	09/27/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/16/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	12/11/2019
	Primary Reviewer 2 critique submitted	NA	12/11/2019
	Primary Reviewer 3 critique submitted	NA	12/11/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/11/2019
	COI indicated by non-primary reviewer	NA	12/11/2019
	Preliminary Evaluation score summary sent to Chair	NA	12/11/2019
	Recommended for full review	NA	12/11/2019
	Applicant notified of outcome	NA	12/11/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/27/2019	12/27/2019
	Primary Reviewer 2 COI signed	10/16/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/13/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/19/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/15/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/01/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200287
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200287
APPLICATION TITLE: Elucidating aberrant splicing-induced immune pathway activation in RBM10-deficient KRAS-mutant NSCLC and harnessing its potential for precision immunotherapy
APPLICANT NAME: Skoulidis, Ferdinandos
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/12/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/13/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/30/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/18/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/06/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/24/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/27/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/11/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/08/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/13/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/10/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200315
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200315
APPLICATION TITLE: CRAD tumor suppressor and mucinous adenocarcinoma
APPLICANT NAME: PARK, JAE-IL
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/15/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/19/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/18/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/21/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	Eric Fearon, Jean-Pierre Issa	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	10/13/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/06/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/16/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/12/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/18/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/01/2019	12/27/2019
	COI indicated by non-primary reviewer	Jean-Pierre Issa	12/27/2019
	COI recused from participation	YES	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200356
Individual Investigator Research Awards for Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 29 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer one award recommendation from this mechanism. The deferred application was recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/05/2020 07:55 AM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Clinical Translation
APPLICATION ID: RP200356
APPLICATION TITLE: Circulating Tumor DNA Defined Minimal Residual Disease in Colorectal Cancer
APPLICANT NAME: Dasari, Arvind
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	07/03/2019	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/29/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/15/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/23/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/21/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/18/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/24/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	Howard Hochster	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	10/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/24/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/09/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/15/2019	12/27/2019
	Primary Reviewer 2 critique submitted	09/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	09/29/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/21/2019	12/27/2019
	COI indicated by non-primary reviewer	Howard Hochster	12/27/2019
	COI recused from participation	YES	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/05/2020
	COI recused from participation	NO	02/05/2020
	PIC Review Meeting	02/04/2020	02/05/2020
	Recommended for grant award	YES	02/05/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200369
Individual Investigator Research Awards for
Clinical Translation

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 *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 29 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer one award recommendation from this mechanism. The deferred application was recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Clinical Translation
APPLICATION ID: RP200369
APPLICATION TITLE: Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)
APPLICANT NAME: Johnson, Faye M
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/31/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/15/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/15/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/14/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/18/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/19/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/02/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/09/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/23/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 2 critique submitted	09/29/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/13/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/10/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200381
Individual Investigator Research Awards for
Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 55 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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

- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

  The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

  The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer two award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Cancer in Children and Adolescents
APPLICATION ID: RP200381
APPLICATION TITLE: Doxorubicin-induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions
APPLICANT NAME: Kleinerman, Eugenie S
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/14/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/22/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/18/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/16/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/21/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/24/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/03/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/31/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/06/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/15/2019	12/27/2019
	Primary Reviewer 3 critique submitted	09/30/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/13/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200390
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200390
APPLICATION TITLE: Heterogeneity of Enhancer Patterns in Colorectal Cancers - Mechanisms and Therapy
APPLICANT NAME: Rai, Kunal
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	07/03/2019	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/25/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/16/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/17/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/26/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/19/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	10/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/15/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/11/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/12/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/11/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
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PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200395
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200395
APPLICATION TITLE: Artificial Intelligence for the peer review of radiation therapy treatments
APPLICANT NAME: Court, Laurence E
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/12/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/24/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/11/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/20/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/15/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/14/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/30/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 2 COI signed	09/06/2019	12/30/2019
	Primary Reviewer 3 COI signed	09/06/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/14/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/22/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/21/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/20/2019	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200401
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200401
APPLICATION TITLE: Targeting MEK in EGFR amplified glioblastoma
APPLICANT NAME: de Groot, John
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Basic Cancer Research-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	11/26/2019
	Primary Reviewer 1 COI signed	07/17/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/19/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/19/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/21/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/24/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/25/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	09/04/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/23/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	09/17/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/10/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/10/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/02/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/18/2019	12/27/2019
	Post review statements signed	10/18/2019	12/27/2019
	Third Party Observer Report	10/22/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200402
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200402
APPLICATION TITLE: Targeting Endothelial Transcriptional Networks in GBM
APPLICANT NAME: Wythe, Joshua D
ORGANIZATION: Baylor College of Medicine
PANEL NAME: Basic Cancer Research-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
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	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	11/26/2019
	Primary Reviewer 1 COI signed	07/10/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/19/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/15/2019	12/27/2019
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	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
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	Primary Reviewer 1 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/04/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/23/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/06/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/15/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/11/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/18/2019	12/27/2019
	Post review statements signed	10/18/2019	12/27/2019
	Third Party Observer Report	10/22/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200409
Individual Investigator Research Awards for
Prevention and Early Detection

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 *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 38 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

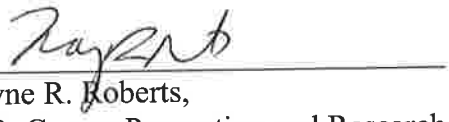
The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer two award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Prevention and Early Detection
APPLICATION ID: RP200409
APPLICATION TITLE: Transdiagnostic Cognitive Behavioral Therapy for Smokers with Anxiety and Depression
APPLICANT NAME: Gallagher, Matthew W
ORGANIZATION: University of Houston
PANEL NAME: Cancer Prevention Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/30/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/19/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/27/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/16/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/04/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/16/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/27/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/11/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/27/2019	12/27/2019
	Primary Reviewer 1 critique submitted	09/16/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/04/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/14/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/12/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/22/2019	12/27/2019
	Post review statements signed	10/25/2019	12/27/2019
	Third Party Observer Report	10/28/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200423
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200423
APPLICATION TITLE: Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance
APPLICANT NAME: Yang, Liuqing
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/16/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/29/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/17/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/15/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/19/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/26/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/06/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/11/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/13/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/12/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/02/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200432
Individual Investigator Research Awards for
Cancer in Children and Adolescents

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 *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 55 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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

- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

  The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

  The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer two award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards for Cancer in Children and Adolescents
APPLICATION ID: RP200432
APPLICATION TITLE: GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma
APPLICANT NAME: Reynolds, Charles P
ORGANIZATION: Texas Tech University Health Sciences Center
PANEL NAME: Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/29/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/21/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/16/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	W. Martin Kast	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/31/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/02/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/03/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/29/2019	12/27/2019
	Primary Reviewer 1 critique submitted	09/26/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/15/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/07/2019	12/27/2019
	COI indicated by non-primary reviewer	W. Martin Kast	12/27/2019
	COI recused from participation	YES	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200439
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Mélanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200439
APPLICATION TITLE: Targeting AKT signaling in MAPK4-high Triple Negative Breast Cancer
APPLICANT NAME: Yang, Feng
ORGANIZATION: Baylor College of Medicine
PANEL NAME: Basic Cancer Research-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/03/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	11/26/2019
	Primary Reviewer 1 COI signed	07/15/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/19/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/17/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/15/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/24/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	09/04/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/04/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/11/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/08/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/03/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/18/2019	12/27/2019
	Post review statements signed	10/18/2019	12/27/2019
	Third Party Observer Report	10/22/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200443
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200443
APPLICATION TITLE: Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single Cell Imaging Mass Cytometry
APPLICANT NAME: Lee, Hyun-Sung
ORGANIZATION: Baylor College of Medicine
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/23/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/16/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/19/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/11/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/14/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/30/2019
	Primary Reviewer 1 COI signed	08/29/2019	12/30/2019
	Primary Reviewer 2 COI signed	09/11/2019	12/30/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/12/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/15/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/07/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/20/2019	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200452
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

- 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200452
APPLICATION TITLE: Non-invasive imaging and quantification of the cancer mechanical microenvironment to monitor cancer progression and predict cancer treatments
APPLICANT NAME: Righetti, Raffaella
ORGANIZATION: Texas A&M Engineering Experiment Station
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/02/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/16/2019	12/30/2019
	Primary Reviewer 2 COI signed	07/24/2019	12/30/2019
	Primary Reviewer 3 COI signed	07/13/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/05/2019	12/30/2019
	Primary Reviewer 2 critique submitted	08/15/2019	12/30/2019
	Primary Reviewer 3 critique submitted	08/20/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/30/2019
	Recommended for full review	YES	12/30/2019
	Applicant notified of outcome	09/27/2019	12/30/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/30/2019
	Primary Reviewer 1 COI signed	08/26/2019	12/30/2019
	Primary Reviewer 2 COI signed	09/06/2019	12/30/2019
	Primary Reviewer 3 COI signed	09/01/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/08/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/18/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/13/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/21/2019	12/30/2019
	COI indicated by non-primary reviewer	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200456
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:53 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200456
APPLICATION TITLE: Clinical MR spectroscopy development of malignancy biomarkers in gliomas
APPLICANT NAME: Choi, Changho
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/05/2019	12/30/2019
	Method of submission	CARS	12/30/2019
	Within receipt period	YES	12/30/2019
	Request for extension to submit application after CARS closed	NA	12/30/2019
	Request for extension for late application submission accepted	NA	12/30/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/30/2019
	Donation(s) made to CPRIT / foundation	NO	12/30/2019
	Assigned to primary reviewers	08/30/2019	12/30/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	09/09/2019	12/30/2019
	Primary Reviewer 2 COI signed	09/01/2019	12/30/2019
	Primary Reviewer 3 COI signed	09/03/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	12/11/2019
	Primary Reviewer 2 critique submitted	NA	12/11/2019
	Primary Reviewer 3 critique submitted	NA	12/11/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/11/2019
	COI indicated by non-primary reviewer	NA	12/11/2019
	Preliminary Evaluation score summary sent to Chair	NA	12/11/2019
	Recommended for full review	NA	12/11/2019
	Applicant notified of outcome	NA	12/11/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/30/2019
	Primary Reviewer 1 COI signed	09/09/2019	12/30/2019
	Primary Reviewer 2 COI signed	09/01/2019	12/30/2019
	Primary Reviewer 3 COI signed	09/03/2019	12/30/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/30/2019
	Primary Reviewer 1 critique submitted	10/09/2019	12/30/2019
	Primary Reviewer 2 critique submitted	10/13/2019	12/30/2019
	Primary Reviewer 3 critique submitted	10/13/2019	12/30/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/21/2019	12/30/2019
	COI indicated by non-primary reviewer	Anna Wu	12/30/2019
	COI recused from participation	YES	12/30/2019
	Discussed at Peer Review Meeting	YES	12/30/2019
	Peer Review Meeting	10/23/2019	12/30/2019
	Post review statements signed	10/24/2019	12/30/2019
	Third Party Observer Report	10/31/2019	12/30/2019
	Score report delivered to CSO	11/07/2019	12/30/2019
	Recommended for SRC review	YES	12/30/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/30/2019
	COI recused from participation	NA	12/30/2019
	SRC Meeting	12/12/2019	12/30/2019
	Third Party Observer Report	12/17/2019	12/30/2019
	Recommended for grant award	YES	12/30/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RP200467
Individual Investigator Research Awards

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was 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
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as "Final Scores for Preliminary Evaluations." As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson's decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.

The de-identified list for the applications that received full review is listed as 'Final Scores for Fully Reviewed Applications.'

- 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

Upon recommendation by the Chief Scientific Officer, and as allowed under 25 T.A.C. § 703.7, members of the PIC present and able to vote unanimously agreed to defer eight award recommendations from this mechanism. The deferred applications were recommended by the Scientific Review Council and may be considered at a future FY 2020 meeting date of the PIC.

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:54 PM

FY: 2020
CYCLE: 1
PROGRAM: Research
MECHANISM: Individual Investigator Research Awards
APPLICATION ID: RP200467
APPLICATION TITLE: SREBP-2-dependent oncometabolites and intestinal tumorigenesis
APPLICANT NAME: Engelking, Luke J
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/27/2019
	Donation(s) made to CPRIT / foundation	NO	12/27/2019
	Assigned to primary reviewers	08/02/2019	12/27/2019
	Applicant notified of review panel assignment	07/08/2019	12/06/2019
	Primary Reviewer 1 COI signed	07/11/2019	12/27/2019
	Primary Reviewer 2 COI signed	07/23/2019	12/27/2019
	Primary Reviewer 3 COI signed	07/15/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
Preliminary Evaluation	Primary Reviewer 1 critique submitted	08/21/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/19/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
Peer Review Meeting	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	10/14/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 3 COI signed	10/16/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/19/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/11/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/17/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	09/02/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/21/2019	12/27/2019
	Post review statements signed	11/05/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR200025
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Anna-Karin Gustavsson, Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received seven applications 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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-06-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/05/2020 07:41 AM

FY: 2020
CYCLE: 1
PROGRAM: Recruitment
MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
APPLICATION ID: RR200025
APPLICATION TITLE: Recruitment of First-Time, Tenure-Track Faculty Member - Dr. Anna-Karin Gustavsson
APPLICANT NAME: Rossky, Peter J
ORGANIZATION: Rice University
PANEL NAME: Recruitment FY20_Cycle 4 and 5

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CSO**	**06/18/2019**	09/13/2019
	RFA published in Texas.gov eGrants	**06/21/2019**	09/13/2019
	CPRIT Application Receipt Cycle opened	**09/21/2019**	12/26/2019
	CPRIT Application Receipt Cycle closed	**10/21/2019**	12/26/2019
	CPRIT Application Receipt Cycle 20.5 opened	**10/22/2019**	12/26/2019
	CPRIT Application Receipt Cycle 20.5 closed	**11/20/2019**	12/26/2019
	Date application submitted	**11/19/2019**	12/26/2019
	Method of submission	**CARS**	12/26/2019
	Within receipt period	**YES**	12/26/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**11/25/2019**	12/26/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/26/2019
	Assigned to primary reviewers	**11/29/2019**	12/26/2019
	Applicant notified of review panel assignment	**NA**	12/26/2019
	Primary Reviewer 1 COI signed	**11/25/2019**	12/26/2019
	Primary Reviewer 2 COI signed	**11/25/2019**	12/26/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**12/03/2019**	12/26/2019
	Primary Reviewer 2 critique submitted	**12/04/2019**	12/26/2019
	COI indicated by non-primary reviewer	**NONE**	12/26/2019
	COI recused from participation	**NA**	12/26/2019
	Discussed at Peer Review Meeting	**YES**	12/26/2019
	Peer Review Meeting	**12/12/2019**	12/26/2019
	Post review statements signed	**12/13/2019**	12/26/2019
	Third Party Observer Report	**12/13/2019**	12/26/2019
	Score report delivered to CSO	**12/20/2019**	12/26/2019
	Recommended for SRC review	**YES**	12/26/2019
Final SRC Recommendation	**COI indicated by SRC member**	**NONE**	12/26/2019
	COI recused from participation	**NA**	12/26/2019
	SRC Meeting	**12/12/2019**	12/26/2019
	Third Party Observer Report	**12/13/2019**	12/26/2019
	Recommended for grant award	**YES**	12/26/2019
	SRC Chair Notification to PIC and OC	**01/17/2020**	01/20/2020
PIC Review	**Candidate not accepted asst. prof. tenure track position prior to SRC date**	**YES**	02/04/2020
	COI indicated by PIC member	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR200029
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Eric Smith, M.D., Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received seven applications 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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/05/2020 07:44 AM

FY:	2020
CYCLE:	1
PROGRAM:	Recruitment
MECHANISM:	Recruitment of First-Time, Tenure-Track Faculty Members
APPLICATION ID:	RR200029
APPLICATION TITLE	Recruitment of First-Time, Tenure-Track Faculty Members-Eric Smith
APPLICANT NAME:	Draetta, Gulio
ORGANIZATION:	The University of Texas M. D. Anderson Cancer Center
PANEL NAME:	Recruitment FY20_Cycle 4 and 5

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/18/2019	09/13/2019
	RFA published in Texas.gov eGrants	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle opened	09/21/2019	12/26/2019
	CPRIT Application Receipt Cycle closed	10/21/2019	12/26/2019
	Date application submitted	10/21/2019	12/26/2019
	Method of submission	CARS	12/26/2019
	Within receipt period	YES	12/26/2019
Receipt, Referral, and Assignment	Administrative review notification	10/31/2019	12/26/2019
	Donation(s) made to CPRIT / foundation	NO	12/26/2019
	Assigned to primary reviewers	11/29/2019	12/26/2019
	Applicant notified of review panel assignment	NA	12/26/2019
	Primary Reviewer 1 COI signed	11/27/2019	12/26/2019
	Primary Reviewer 2 COI signed	11/27/2019	12/26/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	12/04/2019	12/26/2019
	Primary Reviewer 2 critique submitted	12/10/2019	12/26/2019
	COI indicated by non-primary reviewer	Richard O'Reilly	12/26/2019
	COI recused from participation	YES	12/26/2019
	Discussed at Peer Review Meeting	YES	12/26/2019
	Peer Review Meeting	12/12/2019	12/26/2019
	Post review statements signed	12/13/2019	12/26/2019
	Third Party Observer Report	12/13/2019	12/26/2019
	Score report delivered to CSO	12/20/2019	12/26/2019
	Recommended for SRC review	YES	12/26/2019
Final SRC Recommendation	COI indicated by SRC member	Richard O'Reilly	12/26/2019
	COI recused from participation	YES	12/26/2019
	SRC Meeting	12/12/2019	12/26/2019
	Third Party Observer Report	12/13/2019	12/26/2019
	Recommended for grant award	YES	12/26/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	02/04/2020
	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	Created Date
No Comment	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR200030
Recruitment of Rising Stars
Nomination of Shaun Olsen, 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 three applications 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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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

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

State of Texas
County of Travis

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Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/05/2020 07:41 AM

FY: 2020
CYCLE: 1
PROGRAM: Recruitment
MECHANISM: Recruitment of Rising Stars
APPLICATION ID: RR200030
APPLICATION TITLE: Recruitment of Rising Stars- Shaun Olsen
APPLICANT NAME: Hromas, Robert
ORGANIZATION: The University of Texas Health Science Center at San Antonio
PANEL NAME: Recruitment FY20 Cycle 4 and 5

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CSO**	**06/18/2019**	09/13/2019
	RFA published in Texas.gov eGrants	**06/21/2019**	09/13/2019
	CPRIT Application Receipt Cycle opened	**09/21/2019**	12/26/2019
	CPRIT Application Receipt Cycle closed	**10/21/2019**	12/26/2019
	CPRIT Application Receipt Cycle 20.5 opened	**10/22/2019**	12/26/2019
	CPRIT Application Receipt Cycle 20.5 closed	**11/20/2019**	12/26/2019
	Date application submitted	**11/19/2019**	12/26/2019
	Method of submission	**CARS**	12/26/2019
	Within receipt period	**YES**	12/26/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	12/26/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/26/2019
	Assigned to primary reviewers	**11/29/2019**	12/26/2019
	Applicant notified of review panel assignment	**NA**	12/26/2019
	Primary Reviewer 1 COI signed	**11/26/2019**	12/26/2019
	Primary Reviewer 2 COI signed	**11/25/2019**	12/26/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**12/10/2019**	12/26/2019
	Primary Reviewer 2 critique submitted	**12/03/2019**	12/26/2019
	COI indicated by non-primary reviewer	**NONE**	12/26/2019
	COI recused from participation	**NA**	12/26/2019
	Discussed at Peer Review Meeting	**YES**	12/26/2019
	Peer Review Meeting	**12/12/2019**	12/26/2019
	Post review statements signed	**12/13/2019**	12/26/2019
	Third Party Observer Report	**12/13/2019**	12/26/2019
	Score report delivered to CSO	**12/20/2019**	12/26/2019
	Recommended for SRC review	**YES**	12/26/2019
Final SRC Recommendation	**COI indicated by SRC member**	**NONE**	12/26/2019
	COI recused from participation	**NA**	12/26/2019
	SRC Meeting	**12/12/2019**	12/26/2019
	Third Party Observer Report	**12/13/2019**	12/26/2019
	Recommended for grant award	**YES**	12/26/2019
	SRC Chair Notification to PIC and OC	**01/17/2020**	01/20/2020
PIC Review	**Candidate not accepted position prior to SRC date**	**YES**	02/04/2020
	COI indicated by PIC member	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR200032
Recruitment of Established Investigators
Nomination of Karl A. Scheidt, 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 one application 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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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This statement is true."

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

State of Texas
County of Travis

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Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/05/2020 07:41 AM

FY: 2020
CYCLE: 1
PROGRAM: Recruitment
MECHANISM: Recruitment of Established Investigators
APPLICATION ID: RR200032
APPLICATION TITLE: Recruitment of Professor Karl A. Scheidt to The University of Texas at San Antonio
APPLICANT NAME: Silva, David R
ORGANIZATION: The University of Texas at San Antonio
PANEL NAME: Recruitment FY20_Cycle 6

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CSO**	**06/18/2019**	09/13/2019
	RFA published in Texas.gov eGrants	**06/21/2019**	09/13/2019
	CPRIT Application Receipt Cycle opened	**11/21/2019**	01/20/2020
	CPRIT Application Receipt Cycle closed	**12/20/2019**	01/20/2020
	Date application submitted	**12/20/2019**	01/22/2020
	Method of submission	**CARS**	01/22/2020
	Within receipt period	**YES**	01/22/2020
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	01/22/2020
	Donation(s) made to CPRIT / foundation	**NO**	01/22/2020
	Assigned to primary reviewers	**01/03/2020**	01/22/2020
	Applicant notified of review panel assignment	**NA**	01/20/2020
	Primary Reviewer 1 COI signed	**12/27/2019**	01/22/2020
	Primary Reviewer 2 COI signed	**01/02/2020**	01/22/2020
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**01/15/2020**	01/22/2020
	Primary Reviewer 2 critique submitted	**01/07/2020**	01/22/2020
	COI indicated by non-primary reviewer	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	Discussed at Peer Review Meeting	**YES**	01/22/2020
	Peer Review Meeting	**01/16/2020**	01/22/2020
	Post review statements signed	**01/20/2020**	01/22/2020
	Third Party Observer Report	**01/21/2020**	01/22/2020
	Score report delivered to CSO	**01/21/2020**	01/22/2020
	Recommended for SRC review	**YES**	01/22/2020
Final SRC Recommendation	**COI indicated by SRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	SRC Meeting	**01/16/2020**	01/22/2020
	Third Party Observer Report	**01/21/2020**	01/22/2020
	Recommended for grant award	**YES**	01/22/2020
	SRC Chair Notification to PIC and OC	**01/17/2020**	01/22/2020
PIC Review	**Candidate not accepted position prior to SRC date**	**YES**	02/04/2020
	COI indicated by PIC member	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR200035
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Adam Durbin, M.D., Ph.D.

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received seven applications 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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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

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

State of Texas
County of Travis

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Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

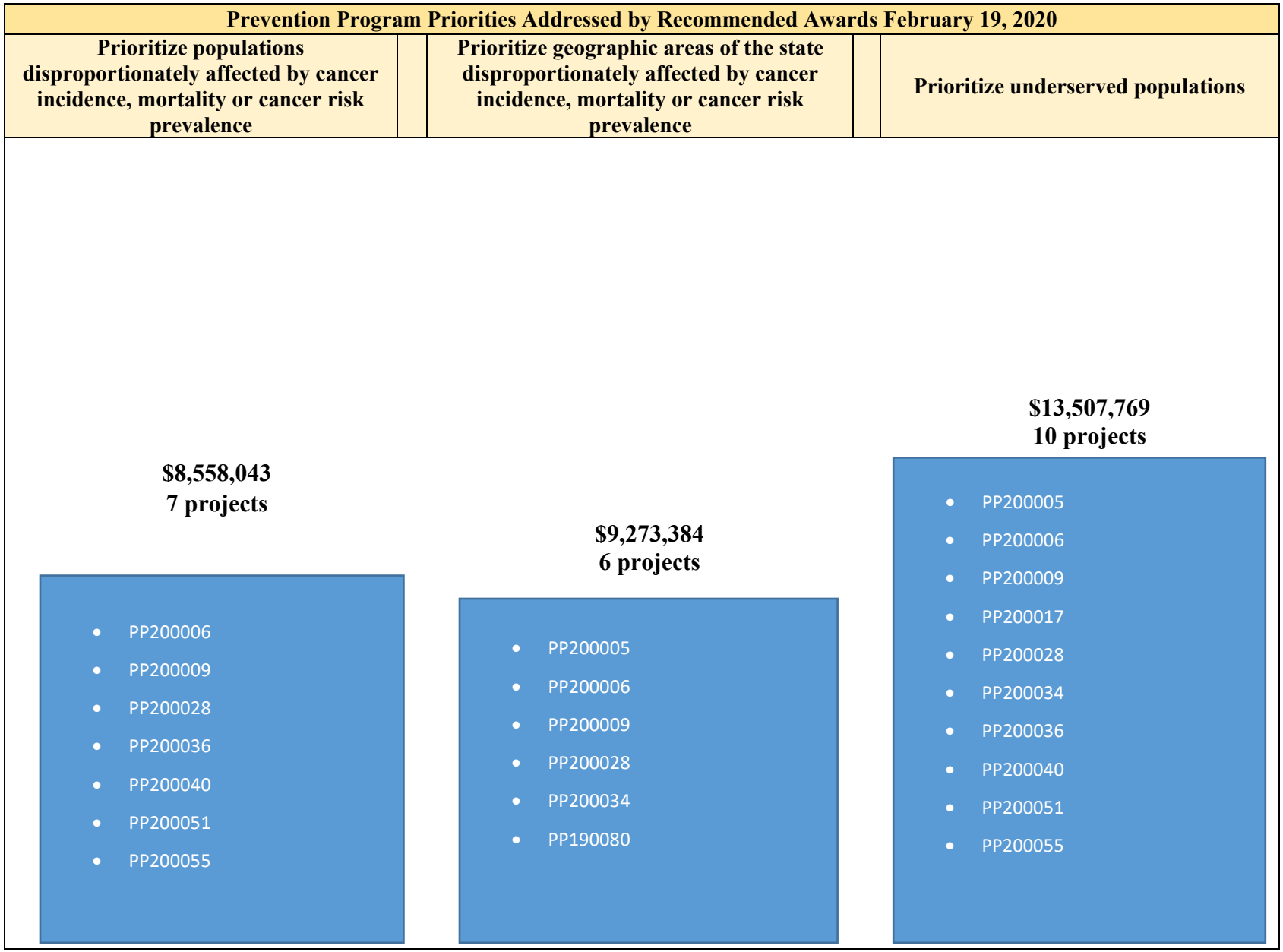
APPLICATION PEDIGREE

Date and time exported: 02/05/2020 07:41 AM

FY: 2020
CYCLE: 1
PROGRAM: Recruitment
MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members
APPLICATION ID: RR200035
APPLICATION TITLE: Nomination of Adam David Durbin, M.D., 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 FY20_Cycle 6

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CSO**	**06/18/2019**	09/13/2019
	RFA published in Texas.gov eGrants	**06/21/2019**	09/13/2019
	CPRIT Application Receipt Cycle opened	**11/21/2019**	01/20/2020
	CPRIT Application Receipt Cycle closed	**12/20/2019**	01/20/2020
	Date application submitted	**12/19/2019**	01/22/2020
	Method of submission	**CARS**	01/22/2020
	Within receipt period	**YES**	01/22/2020
Receipt, Referral, and Assignment	**Administrative review notification**	**12/30/2019**	01/22/2020
	Donation(s) made to CPRIT / foundation	**NO**	01/22/2020
	Assigned to primary reviewers	**01/03/2020**	01/22/2020
	Applicant notified of review panel assignment	**NA**	01/20/2020
	Primary Reviewer 1 COI signed	**01/02/2020**	01/22/2020
	Primary Reviewer 2 COI signed	**12/27/2019**	01/22/2020
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**01/13/2020**	01/22/2020
	Primary Reviewer 2 critique submitted	**01/14/2020**	01/22/2020
	COI indicated by non-primary reviewer	**Myles Brown**	01/22/2020
	COI recused from participation	**YES**	01/22/2020
	Discussed at Peer Review Meeting	**YES**	01/22/2020
	Peer Review Meeting	**01/16/2020**	01/22/2020
	Post review statements signed	**01/20/2020**	01/22/2020
	Third Party Observer Report	**01/21/2020**	01/22/2020
	Score report delivered to CSO	**01/21/2020**	01/22/2020
	Recommended for SRC review	**YES**	01/22/2020
Final SRC Recommendation	**COI indicated by SRC member**	**Myles Brown**	01/22/2020
	COI recused from participation	**YES**	01/22/2020
	SRC Meeting	**01/16/2020**	01/22/2020
	Third Party Observer Report	**01/21/2020**	01/22/2020
	Recommended for grant award	**YES**	01/22/2020
	SRC Chair Notification to PIC and OC	**01/17/2020**	01/22/2020
PIC Review	**Candidate not accepted asst. prof. tenure track position prior to SRC date**	**YES**	02/04/2020
	COI indicated by PIC member	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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**	

CPRIT retains the identity of the attesting party.



Note: Some grant awards address more than one program priority and will be double counted.

Prevention

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: CPRIT OVERSIGHT COMMITTEE MEMBERS
FROM: RAMONA MAGID, CHIEF PREVENTION OFFICER
SUBJECT: PREVENTION GRANT RECOMMENDATIONS – FY 2020 CYCLE 1
DATE: FEBRUARY 4, 2020

Summary and Recommendation:
The Program Integration Committee (PIC) has completed its review of the recommendations forwarded by the Prevention Review Council (PRC). The PIC recommends awarding 10 projects for FY 2020 Cycle 1 totaling $13,507,769. The grant recommendations are presented in four (4) slates.

Number	Grant Type	Amount
1	*Tobacco Control and Lung Cancer Screening*	$ 973,809
5	*Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations*	$ 9,938,016
2	*Evidence-Based Cancer Prevention Services*	$ 1,995,991
2	*Dissemination of CPRIT-Funded Cancer Control Interventions*	$ 599,953

Background:
FY 2020 Cycle 1 (20.1)
CPRIT released four RFAs in November 2019 for the first review cycle of FY 2020. Twenty-eight (28) prevention applications requesting $36,840,299 underwent peer review in Dallas on December 10-11, 2019 and the programmatic review by the PRC was conducted January 17, 2020. The five (5) Dissemination applications submitted by December 2 were reviewed by the PRC at the January 17 meeting.

Program Priorities Addressed
All the recommended applications address one or more of the Prevention Program priorities. Some applications address more than one priority. See the attached chart for additional detail.

Number of Applications Addressing Priorities		
7	Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence	$ 8,558,043
6	Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence	$ 9,273,384
10	Prioritize underserved populations	$13,507,769

Prevention Program Slates

Tobacco Control and Lung Cancer Screening

Mechanism: This award mechanism seeks to fund programs on tobacco prevention and cessation, as well as screening for early detection of lung cancer. Through release of this RFA, CPRIT's goal is to stimulate more programs across the state, thereby providing greater access for underserved populations and reducing the incidence and mortality rates of tobacco-related cancers. This RFA seeks to promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth.
Award: Maximum of $2M for expansion projects and $1M for new projects; Maximum duration of 36 months.

Recommended projects (1): $973,809

Five (5) applications were submitted in this mechanism. One (1) tobacco control and lung cancer screening projects are recommended.

Project Descriptions

PP200040	TCL	Bexar County's Navigation to Cessation (N2C)	Scott, Anthony	University Health System	3.2	$973,809
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations						

This project will provide tobacco cessation services to people living with HIV (PLWH), ages 18 and older, at five clinic locations in Bexar county partnering with University Health System by combining the duties and competencies of a Certified Tobacco Treatment Specialist (CTTS) with that of a Patient Navigator (PN) to consolidate services for this population and remove the barriers to connecting patients to treatment. The prolonged treatment period of 24 weeks combined with the enhanced CTTS PN treatment model will enhance cessation rates among PLWH and successfully prevent lung cancer in this vulnerable, underserved and underfunded population. This project will educate service providers at each of the five clinic sites on best practices and tobacco treatment techniques for PLWH.

Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

Mechanism:
This award mechanism seeks to support the coordination and expansion of evidence-based services to prevent cancer in underserved populations who do not have adequate access to cancer prevention interventions and health care, bringing together networks of public health and community partners to carry out programs tailored for their communities. Projects should identify cancers that cause the most burden in the community and use evidence-based models shown to work in similar communities to prevent and control these cancers. Currently funded CPRIT projects should propose to expand their programs to include additional types of prevention clinical services and/or an expansion of current clinical services into additional counties. In either case, the expansion must include delivery of services to nonmetropolitan and medically underserved counties in the state.
Award: Maximum of $2M; Maximum duration of 36 months.

Recommended projects (5): $9,938,016

Eleven (11) applications were submitted in this mechanism. Five (5) expansion of cancer prevention services to rural and medically underserved populations projects are recommended.

Project Descriptions

PP200006	EPS	De Casa en Casa 3: Cervical Cancer Screening in Underserved Rural and Border Communities in West and South Texas	Shokar, Navkiran	Texas Tech University Health Sciences Center at El Paso	1.9	$1,985,089
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations						

This project proposes to systematically address critical barriers to cervical cancer screening among the uninsured, the underinsured, those residing in 58 geographically isolated, rural and frontier counties and cultural and racial/ethnic minorities. This program addresses several levels of the socioecological model for health, and includes research-tested outreach, education, clinical service delivery, patient navigation, dissemination and implementation and capacity building. The De Casa 3 program builds upon and expands a multilevel, multicomponent evidence-based, culturally tailored, bilingual and theory-based program to new areas in West and South Texas. The project includes a community wide partnership of over 200 organizations.

PP200028	EPS	Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation	Basen-Enquist, Karen	The University of Texas M. D. Anderson Cancer Center	2.3	$1,999,200
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations						

This project proposes to improve the physical functioning and quality of life of sedentary cancer survivors, particularly those who are minority, medically underserved, or living in rural/medically underserved areas. The 12-session program teaches behavioral and cognitive skills to help cancer survivors increase their physical activity by incorporating moderate intensity physical activity into daily life. The program also provides support related to health and quality of life issues important to cancer survivors, including fatigue, psychological distress, nutrition, and communication with health care providers, and will navigate participants to appropriate services. MD Anderson will partner with four organizations in Houston, El Paso, Beaumont, and Tyler that will promote and implement the program. These partners will be trained to administer the program independently using telementoring sessions based on the Project ECHO model.

PP200005	EPS	Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas	Berenson, Abbey	The University of Texas Medical Branch at Galveston	2.7	$1,993,096
CPRIT Priorities addressed: Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations						

This project proposes to increase HPV vaccine knowledge and vaccine uptake by providing HPV vaccination to clients in 13 counties in Southeast Texas. The project will also expand the age range for vaccination following the 2018 Food and Drug Administration update on eligibility for HPV vaccination. To identify potential participants, patient navigators (PNs) will review the medical records of all incoming patients and counsel those without evidence of complete HPV vaccination. The program includes comprehensive outreach to the community and to 4 colleges across the region to disseminate educational materials. Providers in the region and UTMB health professions students will be educated on the importance of recommending the HPV vaccine to eligible patients.

PP200017	EPS	Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools	Cuccaro, Paula	The University of Texas Health Science Center at Houston	2.8	$1,960,631
CPRIT Priorities addressed: Prioritize underserved populations						

This project proposes to increase HPV vaccination rates in 11-13-year-old youth attending public middle schools in medically underserved areas in four diverse Texas communities through comprehensive adolescent school-based vaccination clinics, at which youth will be offered all recommended adolescent vaccinations. All for Them (AFT) is a multilevel, multicomponent program that comprises three synergistic evidence-based strategies to effectively increase HPV vaccine initiation and completion. The AFT campaign messaging changes the conversation around HPV vaccination from one that addresses parents' concerns regarding the HPV vaccine to one that begins by empathizing with parents and empowering them to make the best choices for their families, at the same time that it reframes HPV vaccination as cancer prevention. The program will also offer continuing nursing education statewide to increase school nurses' knowledge, positive attitudes, and effective communication with parents regarding HPV vaccine, HPV vaccine advocacy, and the importance of recording HPV vaccination in school health records.

PP200009	EPS	The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation	Argenbright, Keith	The University of Texas Southwestern Medical Center	3.2	$2,000,000
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations						

This project proposes to use mailed FIT outreach to increase access to colorectal cancer screening and diagnostic services for rural and underserved populations in 57 counties through a multicomponent intervention, addressing community demand through outreach and education and community access, in addition to identifying individuals often not-up-to-date with screening or not actively engaged in a health system. The expansion project will leverage prior experience operating both within a closed safety-net system, as well as in an open system approach. The core program components include promoting uptake across the continuum of care to reduce CRC incidence and mortality within the region, coupled with navigation support to ensure access to care. This program also proposes to include a pilot screening program for average-risk patients age 45–49, aligning with the revised guidelines from the American Cancer Society. This pilot will provide preliminary data specific to screening interest and adherence rates within this population.

Evidence-Based Cancer Prevention Services

Mechanism: This award mechanism seeks to fund projects that will deliver evidence-based cancer prevention and control clinical services. Priority will be given to projects that propose to address CPRIT areas of emphasis and serve areas of the state not well addressed by current CPRIT funded projects.
Award: Maximum of $1.5M; Maximum duration of 36 months.

Recommended projects (2): $1,095,998

Twelve (12) applications were submitted in this mechanism. Two (2) evidence-based cancer prevention services projects are recommended.

Project Descriptions

PP200034	EBP	Advancing Breast Health among Uninsured Women	Jacobs, Elizabeth	The University of Texas at Austin	3.1	$995,999
CPRIT Priorities addressed: Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations						

This project proposes to collaborate with Lone Star Circle of Care, Dell Medical School, and the Central Texas Addressing Cancer Together coalition to provide outreach, education, and mobile mammography services to un- and under-insured women in Bastrop, Caldwell, and Travis Counties. Women with abnormal mammograms will be navigated to diagnostic imaging and biopsy as necessary, and to treatment if diagnosed with breast cancer. Demographic and other data will assist in understanding what social and other factors impact women's ability to get mammography and their perception of the value of mobile mammography compared with other means of mammography delivery.

PP200036	EBP	Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention	Pignone, Michael	The University of Texas at Austin	3.4	$999,992
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations						

This project proposes to develop and implement an evidence-based program for the recognition and treatment of unhealthy alcohol use in Federally Qualified Health Centers (FQHCs) in three Central Texas counties. The proposed program builds on the extensive experience of team members in development of novel programs to implement effective preventive care services in primary care, especially in underserved patients. Providers and staff will be trained on the importance and feasibility of identifying patients with unhealthy alcohol use and its role in cancer prevention. A brief intervention is provided to patients with risky drinking but low likelihood of alcohol use disorder, with the goal of reducing risky drinking behaviors. Patients with high likelihood of alcohol use disorder are referred for additional evaluation and treatment,

with the support of patient navigation. Concurrent assessment for other modifiable risk factors (smoking, viral hepatitis) in patients who screen positive for unhealthy drinking will be provided.

Dissemination of CPRIT-Funded Cancer Control Interventions

Mechanism: This award mechanism seeks to fund projects that will facilitate the dissemination and implementation of successful CPRIT-funded, evidence-based cancer prevention and control interventions across Texas. The proposed project should be able to develop one or more "products" based on the results of the CPRIT-funded intervention. The proposed project should also identify and assist others to prepare to implement the intervention and/or prepare for grant funding.
Award: Maximum of $300,000; Maximum duration of 24 months

Recommended projects (2): $599,953

Five (5) applications were submitted in this mechanism. Two (2) dissemination of CPRIT-funded cancer control interventions projects are recommended.

Project Descriptions

PP200055	Advancing the Access to Cancer Training, Information, Outreach and Navigation (ACTION) project for CHW dissemination of resources to at-risk Texas regions	Bolin, Jane	Texas A&M University System Health Science Center	2.0	$300,000
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations					

This project proposes to utilize community health workers (CHWs) and the CHW model to conduct both active and passive dissemination and implementation strategies to improve cancer education, navigation, and outreach throughout the state of Texas. This approach has been shown to increase patient knowledge, increase referrals, improve screening rates and improve adherence to screening guidelines for some types of cancer. CHW training tools on liver and lung cancer prevention, detection, treatment and survivorship will be packaged and disseminated. The project will also develop products for promotion of best practices for implementation with a focus on vulnerable populations as well as provide technical assistance and training to partners across the state.

PP200051	Taking Texas Tobacco Free through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings	Reitzel, Lorraine	University of Houston	3.0	$299,953
CPRIT Priorities addressed: Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations					

This project proposes to increase the reach and effectiveness of Taking Texas Tobacco Free (TTTF) through development of a curriculum and training program for behavioral health treatment setting program champions that, through its dissemination and implementation, will facilitate and increase the delivery of ongoing center-led education about evidence-based practices for tobacco control. Dissemination strategies include an implementation/replication guide and toolkit with training and teaching resources, social media program promotion and availability on the TTTF website, and hands-on technical assistance.

Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com
Via email to Dee Margo assistant, Olivia Zepeda, zepedaox@elpasotexas.gov

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

Dear Mr. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.1 Evidence-Based Cancer Prevention Services (EBP), Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS), and Tobacco Control and Lung Cancer Screening awards.

The PRC met on January 17, 2020 to consider the applications recommended by the peer review panel following their December 10-11 meeting and to review the applications submitted to CPRIT under the Dissemination of CPRIT-Funded Cancer Control Interventions mechanism.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for fiscal year 2020 is $28,035,081. These recommended projects total $13,507,769.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,
Stephen W. Wyatt, DMD, MPH
Chair, CPRIT Prevention Review Council

Attachment

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Cycle 20.1 Recommended Prevention Program Awards

App. ID	Mech	Application Title	PD	Organization	Score	Rank Order	Budget
PP200006	EPS	De Casa en Casa 3: Cervical Cancer Screening in Underserved Rural and Border Communities in West and South Texas	Shokar, Navkiran	Texas Tech University Health Sciences Center at El Paso	1.9	1	$1,985,089
PP200055	DI	Advancing the Access to Cancer Training, Information, Outreach, and Navigation (ACTION) Project for CHW Dissemination of Resources to At-Risk Texas Regions	Bolin, Jane	Texas A&M University System Health Science Center	2.0	2	$ 300,000
PP200028	EPS	Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation	Basen-Engquist, Karen	The University of Texas M. D. Anderson Cancer Center	2.3	3	$ 1,999,200
PP200005	EPS	Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas	Berenson, Abbey	The University of Texas Medical Branch at Galveston	2.7	4	$ 1,993,096
PP200017	EPS	Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools	Cuccaro, Paula	The University of Texas Health Science Center at Houston	2.8	5	$ 1,960,631
PP200051	DI	Taking Texas Tobacco Free Through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings	Reitzel, Lorraine	University of Houston	3.0	6	$ 299,953
PP200034	EBP	Advancing Breast Health among Uninsured Women	Jacobs, Elizabeth	The University of Texas at Austin	3.1	7	$ 995,999
PP200040	TCL	BEXAR COUNTY'S NAVIGATION TO CESSATION (N2C)	Scott, Anthony	University Health System	3.2	8	$ 973,809
PP200009	EPS	The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation	Argenbright, Keith	The University of Texas Southwestern Medical Center	3.2	9	$ 2,000,000

PP200036	EBP	Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention	Pignone, Michael	The University of Texas at Austin	3.4	10	$ 999,992

EBP: Evidence-Based Cancer Prevention Services
EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
TCL: Tobacco Control and Lung Cancer Screening
DI: Dissemination of CPRIT-Funded Cancer Control Interventions

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Dissemination of CPRIT-Funded Cancer Control Interventions

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA P-20.1-DI

Dissemination of CPRIT-Funded Cancer Control Interventions

Please also refer to the Instructions for Applicants document, which will be posted on June 6, 2019

Application Receipt Dates: June 6, 2019-June 2, 2020

FY 2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 05/15/19 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 enhance 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. Prevention Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Prevention Program's principles and priorities will also guide CPRIT staff and the Prevention Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

Established Principles

- Fund evidence-based interventions and their dissemination
- Support the prevention continuum of primary, secondary, and tertiary (includes survivorship) prevention interventions

Prevention Program Priorities

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

2. FUNDING OPPORTUNITY DESCRIPTION

2.1. Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer. The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies. CPRIT will foster the primary, secondary, and tertiary prevention of cancer in Texas by providing financial support for a wide variety of evidence-based risk reduction, early detection, and survivorship interventions.

The **Dissemination of CPRIT-Funded Cancer Control Interventions (DI)** award mechanism seeks to fund programs that facilitate the continuation of CPRIT projects through their dissemination and implementation across Texas. **This award mechanism is open only to previously or currently funded CPRIT projects.** Applicants may request any amount of funding up to a maximum of $300,000 in total funding over a maximum of 24 months.

The proposed program should describe and package strategies or approaches to introduce, modify, and implement previously funded CPRIT evidence-based cancer prevention and control interventions for dissemination to other settings and populations in the state. To be eligible, the applicant should be in a position to develop 1 or more "products" based on the results of the CPRIT-funded intervention. Of particular interest is the dissemination of "products" that address the unique challenges to program implementation in resource-limited settings, particularly in nonmetropolitan and medically underserved areas of the state.

The proposed projects should also identify and assist others in preparing to implement the intervention and/or preparing to apply for grant funding.

2.2. Project Objectives

CPRIT seeks to fund projects that will provide 1 or more of the following:

- Dissemination of tools or models to public health professionals, health care practitioners, health planners, policymakers, and advocacy groups
- Dissemination of materials or information about an intervention to broader settings/systems

- Dissemination or scaling up of best practices (infrastructure and tools) and evidence-based interventions for implementation (ie, implementation guides)

2.3. Award Description

The **Dissemination of CPRIT-Funded Cancer Control Interventions** RFA solicits applications from currently or previously funded CPRIT projects that have demonstrated exemplary success and have materials, policies, and other resources that have been successfully implemented and evaluated and could be scaled up and/or applied to other systems and settings. The ultimate goal is to continue and expand successful models for the delivery of prevention interventions all across the state through adaptation or replication.

The Center for Research in Implementation Science and Prevention website (http://www.dissemination-implementation.org/measures.aspx) defines active and passive dissemination strategies as follows: "Dissemination strategies describe mechanisms and approaches that are used to communicate and spread information about interventions to targeted users. Dissemination strategies are concerned with the packaging of the information about the intervention and the communication channels that are used to reach potential adopters and target audience. Passive dissemination strategies include mass mailings, publication of information including practice guidelines, and untargeted presentations to heterogeneous groups. Active dissemination strategies include hands on technical assistance, replication guides, point-of-decision prompts for use, and mass media campaigns. It is consistently stated in the literature that dissemination strategies are necessary but not sufficient to ensure wide-spread use of an intervention."

Adopters will need to employ implementation strategies to replicate or adapt projects to their settings or populations. Implementation strategies are described as the systematic processes, activities, and resources that are used to integrate interventions into usual settings. Core implementation components or implementation drivers can be staff selection, preservice and in-service training, ongoing consultation and coaching, staff and program evaluation, facilitative administrative support, and systems interventions. (See http://www.dissemination-implementation.org/measures.aspx)

This award will support both passive and active dissemination strategies but must include 2 or more active dissemination strategies. This award will also support implementation strategies in the form of technical assistance, coaching, and consultation within the time period of the grant. CPRIT recognizes that there are limits to the amount of technical assistance or coaching that can be accomplished within the grant period; however, priority will be given to those projects that identify and assist potential adopters in preparing to implement the intervention and/or preparing to apply for grant funding. Examples of active dissemination strategies and implementation strategies follow.

Tools/models

- Toolkits with materials, sample policies, and procedures for implementation of CPRIT-funded programs
- Interactive websites that provide future adopters with key information on how to implement CPRIT-related interventions
- Approaches for dissemination of findings via nontraditional channels (eg, social media)
- User-friendly summaries—short issue or policy briefs that tell a story for decision makers based on CPRIT findings
- Brief, user-friendly case studies from program developers and recipients to illustrate key issues

Implementation guides

- Targeted communication materials emphasizing how to apply them to different populations, systems, and settings
- Step-by-step implementation guides on how to translate an evidence-based intervention/program to broader settings, including guidelines for retaining core elements of the interventions or programs while offering suggested adaptations for the elements that would enhance the adoption and sustainability of the programs in different populations, settings, or circumstances (See Partnership for Prevention examples: https://innovations.ahrq.gov/qualitytools/community-health-promotion-handbook-action-guides-improve-community-health)

Training/Technical assistance

- Provision of training and technical assistance to guide adopters in developing their plans to adapt, refine, and implement their projects

In addition, proposed dissemination materials should include a discussion of barriers to dissemination; a description of personnel and necessary resources to overcome barriers to implementation of the project; a description of expected outcomes, evaluation strategies with a sample evaluation plan, and tools (if applicable); and suggestions or plan for project sustainability.

By the end of Year 1, the project timeline should include but is not limited to the following:

- A step-by-step implementation guide that includes how to translate an evidence-based intervention/program to broader settings, including guidelines for retaining core elements of the interventions or programs while offering suggested adaptations for the elements that would enhance the adoption and sustainability of the programs in different populations, settings, or circumstances.

Under this RFA, CPRIT **will not** consider the following:

- Applications to disseminate projects not previously or currently funded by CPRIT
- Projects involving prevention/intervention research

Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at http://www.cprit.texas.gov).

2.4. Priorities

Types of Cancer:

Applications addressing any cancer type(s) that are responsive to this RFA will be considered for funding. See section 2.5 for specific areas of emphasis. Priority will be given to applications to disseminate and replicate projects that when implemented can address the following program priorities set by the CPRIT Oversight Committee:

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence

- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

Priority Populations

The age of the priority population described in the application must comply with established and current national guidelines (eg, US Preventive Services Task Force [USPSTF], American Cancer Society, American College of Physicians).

Priority populations are subgroups that are underserved and disproportionately affected by cancer. Insured populations are not the priority of CPRIT's programs; however, some health promotion and education activities may include insured individuals as well as those who are underinsured or uninsured.

CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals
- Geographically or culturally isolated populations
- Medically unserved or underserved populations
- Populations with low health literacy skills
- Racial, ethnic, and cultural minority populations, or
- Other populations with low screening rates, high incidence rates, and high mortality rates, focusing on individuals never before screened or who are significantly out of compliance with nationally recommended screening guidelines

2.5. Specific Areas of Emphasis

Applications that propose dissemination of any previously funded CPRIT project delivering an evidence-based preventive service or education and outreach program that includes navigation to services that is responsive to this RFA will be considered. However, CPRIT has identified the following area of emphasis for this cycle of awards.

- Dissemination of the programs that address the unique challenges to program implementation in resource-limited settings, in particular, nonmetropolitan and medically underserved areas of the state.

2.6. Outcome Metrics

The applicant is required to describe how the goals and objectives for each year of the project as well as the final outcomes will be measured. The applicant should provide a clear and appropriate plan for data collection and interpretation of results to report against goals and objectives.

Reporting Requirements

Funded projects are required to report quantitative output and outcome metrics (as appropriate for each project) through the submission of quarterly progress reports, annual reports, and a final report.

- Quarterly progress report sections include, but are not limited to the following:
  - Narrative on project progress, including the number and description of all active and passive dissemination and implementation activities undertaken
- Annual and final progress report sections include, but are not limited to the following:
  - Key accomplishments, including discussion of barriers to dissemination
  - Progress toward goals and objectives
  - Materials produced, presentations, publications, etc
  - Economic impact of the project

2.7. Eligibility

- The applicant must be a Texas-based entity, such as a community-based organization, health institution, government organization, public or private company, college or university, or academic health institution.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted.
- The designated Program Director (PD) will be responsible for the overall performance of the funded project. The PD must have relevant education and management experience and must reside in Texas during the project performance time.
- The applicant may submit more than 1 application, but each application must be for distinctly different projects without overlap in the projects. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.

- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's 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 created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant organization, the PD, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, (whether slated to receive salary or compensation under the grant award or not), are currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. CPRIT grants are funded on a reimbursement-only basis. 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 6. All statutory provisions and relevant administrative rules can be found on the CPRIT website.

2.8. Resubmission Policy

- **One resubmission** is permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PD for a project or a change of title for a project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission.
- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received overall numerical scores of 4 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing previous critiques is advisable; however, it does not guarantee the success of the resubmission**. All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

2.9. Funding Information

Applicants may request any amount of funding up to a maximum of $300,000 in total funding over a maximum of 24 months. Grant funds may be used to pay for salary and benefits, project supplies, equipment, costs for outreach and education, and travel of project personnel to project site(s). Requests for funds to support construction, renovation, or any other infrastructure needs or requests to support lobbying will not be approved under this mechanism. Grantees may request funds for travel for 2 project staff to attend CPRIT's conference.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the **total** award amount.

The budget should be well justified. In addition, CPRIT seeks to fill gaps in funding rather than replace existing funding, supplant funds that would normally be expended by the applicant's organization, or make up for funding reductions from other sources.

3. KEY DATES

Applications will be accepted on a continuous basis throughout FY 2020; application review and award notification will generally occur twice per year according to the schedule below. For an application to be considered for review during a given review cycle, that application must be submitted on or before 11:59 PM central time on the respective deadline date.

FY 2020	Application Deadline	Application Review	Oversight Committee Award Approval
20.1	12/2/2019	January 2020	February 2020
20.2	6/2/2020	July 2020	August 2020

4. APPLICATION SUBMISSION GUIDELINES

4.1. *Instructions for Applicants* document

It is imperative that applicants read the accompanying instructions document for this RFA that will be available June 6, 2019 (https://CPRITGrants.org). Requirements may have changed from previous versions.

4.2. Online Application Receipt System

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 PD must create a user account in the system to start and submit an application. The Co-PD, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (an individual who will help manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on June 6, 2019, and will be accepted on a continuous basis throughout FY 2020. Applications will generally be reviewed twice per year. Detailed instructions for submitting an application are in

the *Instructions for Applicants* document, posted on CARS. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

4.3. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

4.4. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Refer to the *Instructions for Applicants* document for details. **Submissions that are missing 1 or more components or do not meet the eligibility requirements may be administratively withdrawn without review.**

4.4.1. Abstract and Significance (5,000 characters)

Clearly explain the problem(s) to be addressed, the approach(es) to the solution, and how the application is responsive to this RFA. In the event that the project is funded, the abstract will be made public; therefore, no proprietary information should be included in this statement. Initial compliance decisions are based in part upon review of this statement.

The abstract format is as follows (use headings as outlined below):

- **Need:** Include a description of need for the proposed project.
- **Overall Project Strategy:** Describe the project and how it will address the identified need.
- **Specific Goals:** State specifically the overall goals of the proposed project.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a unique and major impact on cancer prevention and control and for the State of Texas.

4.4.2. Goals and Objectives (700 characters each)

List only major **outcome** goals and **measurable** objectives for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the

proposed metric within both the stated objective and the measure. Refer to the *Instructions for Applicants* document for details. The maximum number is 3 outcome goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See Appendix for instructions on writing **outcome** goals and objectives.

A baseline and method(s) of measurement are required for each objective. If a baseline has not yet been defined, applicants are required to explain plans to establish baseline and describe method(s) of measurement.

4.4.3. Project Timeline (2 pages)

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1 and 2, and Months 1, 2, 3, etc, as applicable (eg, Year 1, Months 3-5) instead of specific months or years. Month 1 is the first full month of the grant award.

4.4.4. Project Plan (12 pages; fewer pages permissible)

The required project plan format follows. Applicants must use the headings outlined below.

Background: Describe the project to be disseminated and how and why it lends itself to replication and scalability. Describe the effectiveness of the intervention that is being proposed for replication/dissemination and the expected short- and long-term impacts of the project.

Goals and Objectives: Process objectives should be included in the project plan. Outcome goals and objectives will be entered in separate fields in CARS. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here. See Appendix for instructions on writing goals and objectives.

Components of the Project: Clearly describe the data demonstrating success of the CPRIT-funded project that justifies dissemination. Describe components of the proposed dissemination project and the dissemination approach, strategy (eg, passive and active dissemination and implementation strategies), and the products being designed or packaged. The dissemination approach and strategy should also consider the message, source, audience, and channel (Brownson, R.C., et al. *J Pub Health Manag Pract*. 24(2):102-111, March/April 2018). Clearly describe the established theory and practice that support the proposed approach or strategy. Describe parameters of the CPRIT-funded project that may affect its dissemination and

replication, such as target audience for which it was designed, specialized resources that may be needed, or geographic considerations.

Evaluation Strategy: Describe the evaluation plan and methodology to assess dissemination effectiveness (eg, include short-term and intermediate impact of dissemination activities, knowledge and behavior change among the audience likely to adopt the project). Describe a clear and appropriate plan for data collection and interpretation of results to report against goals and objectives. If needed, applicants may want to consider seeking expertise at Texas-based academic cancer centers, schools/programs of public health, prevention research centers, or the like. Applicants should budget accordingly for the evaluation activity and should ensure, among other things, that the evaluation plan is linked to the proposed goals and objectives.

Organizational Qualifications and Capabilities: Describe the organization and its qualifications and capabilities to deliver the proposed project. Describe the role and qualifications of key collaborating organizations/partners (if applicable) and how they add value to the project and demonstrate commitment to working together to implement the project. Describe the key personnel who are in place or will be recruited to implement, evaluate, and complete the project.

4.4.5. References

Provide a concise and relevant list of references cited for the application. The successful applicant will provide referenced evidence and literature support for the proposed project.

4.4.6. Resubmission Summary

Use the template provided on the CARS (https://CPRITGrants.org). Describe the approach to the resubmission and how reviewers' comments were addressed. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed. The overall summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission; the applicant is not responsible for providing this document.

4.4.7. CPRIT Grants Summary

Use the template provided on the CARS (https://CPRITGrants.org). Provide a listing of **all** projects funded by the CPRIT Prevention program for the PD and the Co-PD, regardless of their connection to this application.

4.4.8. Budget and Justification

Provide a brief outline and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, travel, equipment, supplies, contractual expenses, and other expenses. CPRIT funds will be distributed on a reimbursement basis. Applications requesting more than the maximum allowed cost (total costs) as specified in section 2.9 will be administratively withdrawn.

- **Personnel:** The individual salary cap for CPRIT awards is $200,000 per year. Describe the source of funding for all project personnel where CPRIT funds are not requested.
- **Travel:** PDs and related project staff are expected to attend CPRIT's conference. CPRIT funds may be used to send up to 2 people to the conference.
- **Equipment:** Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application. Justification must be provided for why funding for this equipment cannot be found elsewhere; CPRIT funding should not supplant existing funds. Cost sharing of equipment purchases is strongly encouraged.
- **Indirect/Shared Costs:** Texas law limits the amount of grant funds that may be spent on indirect/shared expenses to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules.

4.4.9. Current and Pending Support and Sources of Funding

Use the template provided on the CARS (https://CPRITGrants.org). Describe the funding source and duration of **all** current and pending support for the proposed project, including a capitalization table that reflects private investors, if any. Information for the initial funded project need not be included.

4.4.10. Biographical Sketches

The designated PD will be responsible for the overall performance of the funded project and must have relevant education and management experience. The PD must provide a biographical sketch that describes his or her education and training, professional experience, awards and honors, and publications and/or involvement in programs relevant to cancer prevention and/or service delivery.

Up to 3 additional biographical sketches for key personnel may be provided. The evaluation professional biographical sketch is optional and will count as 1 of the 3 additional biosketches. Each biographical sketch must not exceed 2 pages and must use the "Prevention Programs: Biographical Sketch" template provided on the CARS (https://CPRITGrants.org).

Only biographical sketches will be accepted; do not submit resumes and/or CVs.

4.4.11. Collaborating Organizations

List all key participating organizations that will partner with the applicant organization to provide 1 or more components essential to the success of the program (eg, evaluation).

4.4.12. Letters of Commitment (10 pages)

Applicants may provide optional letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program.

5. APPLICATION REVIEW

5.1. Review Process Overview

All eligible applications will be reviewed and scored by the CPRIT Prevention Review Council based on the criteria in section 5.2 below. Review Council members are listed on CPRIT's website.

Applications may be submitted continuously in response to this RFA and will generally be reviewed twice per year (see section 3). The Prevention Review Council will review applications and provide an overall evaluation score reflecting their overall impression of the application and

responsiveness to the RFA priorities. Additional considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service.

Applications approved by the Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 through 703.8.

Each stage of application review is conducted confidentially, and all CPRIT Prevention 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 Peer Review Panel members and 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, a Review Panel member, or a 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 State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of

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

5.2. Review Criteria

The Prevention Review Council will review the applications based on the criteria below and will provide an overall evaluation score reflecting their overall impression of the application and responsiveness to the RFA priorities. Additional considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service.

5.2.1. Primary Evaluation Criteria

Impact

- Does the applicant describe the project to be disseminated and how and why it lends itself to replication and scalability?
- Does the applicant outline the target metrics established for the CPRIT-funded project and describe the effectiveness of the intervention that is being proposed for replication/dissemination?
- Do the data (results) demonstrate success of the CPRIT-funded project and justify dissemination?
- Has the applicant convincingly demonstrated the short- and long-term impacts of the project?

Project Strategy and Feasibility

- Does the proposed project address the requirements of the RFA? Does it include a step-by-step implementation guide in Year 1?
- Are the overall project dissemination approach, strategy, and design clearly described and supported by established theory and practice and likely to result in successful dissemination and adoption? Are 2 or more active dissemination strategies described?
- Are the proposed objectives and activities feasible within the duration of the award?
- If the CPRIT-funded project is to be adapted for different populations and settings, are specific adaptations and evaluation strategies clearly outlined as a part of the project?
- Does the project identify and assist potential adopters in preparing to implement the intervention and/or preparing to apply for grant funding?

Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed measures appropriate for the project?
- Does the application provide a clear and appropriate plan for data collection and interpretation of results to report against goals and objectives?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners (if applicable) demonstrate the ability to deliver the proposed project?
- Are the appropriate personnel in place or have they been recruited to develop, evaluate, and complete the project?

5.2.2. Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope of the proposed work?
- Are all costs well justified?
- Is the project a good investment of Texas public funds?

6. AWARD ADMINISTRATION

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules. 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 the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. 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.

7. CONTACT INFORMATION

7.1. Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding the scope and focus of applications. Before contacting the helpdesk, please refer to the *Instructions for Applicants* document (posted on June 6, 2019), which provides a step-by-step guide to using CARS.

Hours of operation:	Monday through Friday, 8 AM to 6 PM central time
Tel:	866-941-7146
Email:	Help@CPRITGrants.org

7.2. Program Questions

Questions regarding the CPRIT Prevention program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Prevention Program Office.

Tel:	512-305-8417
Email:	Help@CPRITGrants.org
Website:	www.cprit.texas.gov

8. RESOURCES

- The Texas Cancer Registry. http://www.dshs.texas.gov/tcr or contact the Texas Cancer Registry at the Department of State Health Services.
- The Community Guide. http://www.thecommunityguide.org/index.html
- Cancer Control P.L.A.N.E.T. http://cancercontrolplanet.cancer.gov
- Guide to Clinical Preventive Services: Recommendations of the U.S. Preventive Services Task Force. http://www.ahrq.gov/professionals/clinicians-providers/guidelines-recommendations/guide/
- Brownson, R.C., Colditz G.A., and Proctor, E.K. (Editors). *Dissemination and Implementation Research in Health: Translating Science to Practice.* Oxford University Press, March 2012
- Centers for Disease Control and Prevention: The Program Sustainability Assessment Tool: A New Instrument for Public Health Programs http://www.cdc.gov/pcd/issues/2014/13_0184.htm
- Centers for Disease Control and Prevention: Using the Program Sustainability Tool to Assess and Plan for Sustainability. http://www.cdc.gov/pcd/issues/2014/13_0185.htm
- Cancer Prevention and Control Research Network: Putting Public Health Evidence in Action Training Workshop. http://cpcrn.org/pub/evidence-in-action/
- Getting the Word Out: New Approaches for Disseminating Public Health Science; Brownson, R.C., et al, *Journal of Public Health Management & Practice*. 24(2):102-111, March/April 2018. https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting_the_Word_Out___New_Approaches_for.4.aspx

APPENDIX: WRITING GOALS AND OBJECTIVES

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within **both** the stated objective and the measure. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives.

The following has been adapted with permission from Appalachia Community Cancer Network, NIH Grant U54 CA 153604:

Develop well-defined goals and objectives

Goals provide a roadmap or plan for where a group wants to go. Goals can be long term (over several years) or short term (over several months). Goals should be based on needs of the community and evidence-based data.

Goals should be

- Believable – situations or conditions that the group believes can be achieved
- Attainable – possible within a designated time
- Tangible – capable of being understood or realized
- On a timetable – with a completion date
- Win-Win – beneficial to individual members and the coalition

Objectives are measurable steps toward achieving the goal. They are clear statements of specific activities required to achieve the goal. The best objectives have several characteristics in common—S.M.A.R.T. + C:

- Specific – they tell how much (number or percent), who (participants), what (action or activity), and by when (date)
    - Example: 115 uninsured individuals age 50 and older will complete colorectal cancer screening by March 31, 2019.
- Measurable – specific measures that can be collected, detected, or obtained to determine successful attainment of the objective
    - Example: How many screened at an event? How many completed pre/post assessment?

- Achievable – not only are the objectives themselves possible, it is likely that your organization will be able to accomplish them
- Relevant to the mission – your organization has a clear understanding of how these objectives fit in with the overall vision and mission of the group
- Timed – developing a timeline is important for when your task will be achieved
- Challenging – objectives should stretch the group to aim on significant improvements that are important to members of the community

Evaluate and refine your objectives

Review your developed objectives and determine the type and level of each using the following information:

There are 2 types of objectives:

- Outcome objectives – measure the "what" of a program; should be in the Goals and Objectives form (see section 4.4.2)
- Process objectives – measure the "how" of a program; should be in the project plan (see section 4.4.4)

There are 3 levels of objectives:

- Community-level – objectives measure the planned community change
- Program impact – objectives measure the impact the program will have on a specific group of people
- Individual – objectives measure participant changes resulting from a specific program, using these factors:
  - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
  - Attitudes – feelings about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetables is important)
  - Skills – the ability to do something (complete fecal occult blood test)
  - Intentions – regarding plan for future behavior (will agree to talk to the doctor, will plan to schedule a Pap test)
  - Behaviors (past or current) – to act in a particular way (will exercise 30+ minutes a day, will have a mammogram)

Well-defined goals and objectives can be used to track, measure, and report progress toward achievement.

Summary Table

	Outcome – Use in Goals and Objectives	Process – Use in Project Plan only
Community-level	WHAT will change in a community ***Example:*** *As a result of CPRIT funding, FIT (fecal immunochemical tests) will be available to 1,500 uninsured individuals age 50 and over through 10 participating local clinics and doctors.*	HOW the community change will come about ***Example:*** *Contracts will be signed with participating local providers to enable uninsured individuals over age 50 to have access to free colorectal cancer screening in their communities.*
Program Impact	WHAT will change in the target group as a result of a particular program ***Example:*** *As a result of this project, 200 uninsured women between 40 and 49 will receive free breast and cervical cancer screening.*	HOW the program will be implemented to affect change in a group/population ***Example:*** *2,000 female clients, between 40 and 49, will receive a letter inviting them to participate in breast and cervical cancer screening.*
Individual	WHAT an individual will learn as a result of a particular program, or WHAT change an individual will make as a result of a particular program ***Example:*** *As a result of one-to-one education of 500 individuals, at least 20% of participants will participate in a smoking cessation program to quit smoking.*	HOW the program will be implemented to affect change in an individual's knowledge or actions ***Example:*** *As a result of one-to-one counseling, all participants will identify at least 1 smoking cessation service and 1 smoking cessation aid.*

Third Party Observer Reports

Prevention and Research Institute of Texas (CPRIT) 20.1 Prevention Review Council Dissemination of CPRIT - Funded Cancer Control Interventions Review Panel (20.1_PRV_DI) Observation Report

Report No.	2020-01-17 20.1_PRV_DI
Program Name:	Prevention
Panel Name:	20.1 Prevention Review Council Dissemination of CPRIT - Funded Cancer Control Interventions Review Panel (20.1_PRV_DI)
Panel Date:	01-17-2020
Report Date:	01-23-2020

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 20.1 Prevention Review Council Dissemination of CPRIT-Funded Cancer Control Interventions Review Panel (20.1_PRV_DI) meeting. The meeting was chaired by Stephen Wyatt and conducted via teleconference on January 17, 2020.

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: Three (3) applications were discussed and two (2) applications not discussed
- Panelists: One (1) panel chair and two (2) 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: One (1)
- 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,

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

CPRIT Prevention Cycle 20.1 Applications

Prevention Cycle 20.1 Applications Announced at the February 19, 2020, 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 Prevention Cycle 20.1 include *Evidence-Based Cancer Prevention Services; Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations; Tobacco Control and Lung Cancer Screening; and Dissemination of CPRIT-Funded Cancer Control Interventions*. 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/PD	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
PP200028	Karen Basen-Engquist	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen
PP200036	Michael Pignone	The University of Texas at Austin	Marcus Plescia
Applications not considered by the PIC or Oversight Committee			
PP200016	Walter Calmbach	The University of Texas Health Science Center at San Antonio	Ross Brownson

T.A.C. Section 702.19 Waiver

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO:	OVERSIGHT COMMITTEE MEMBERS
FROM:	WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT:	T.A.C. § 702.19 WAIVER
DATE:	JUNE 11, 2019

Summary

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Ramona Magid, CPRIT's Chief Prevention Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to the first prevention review cycle of FY 2020. No Oversight Committee action related to this waiver is necessary.

Background and Discussion

I promoted Ms. Magid to the Chief Prevention Officer position on June 1 following Dr. Becky Garcia's retirement. The Chief Prevention Officer is a statutorily mandated member of the Program Integration Committee (PIC). Texas Administrative Code § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

Traditionally, a chief program officer leads each CPRIT program with the assistance of a program manager. The program manager fields inquiries from and provides technical help to applicants completing their CPRIT grant applications. However, the prevention program manager position is vacant currently with Ms. Magid's promotion. Until CPRIT fills the program manager position, Ms. Magid is the sole point of contact for the prevention program. The communication waiver is necessary so that she can help grant applicants who have questions during the application process.

Approving this waiver does not favor any grant applicant over another. Ms. Magid will provide technical assistance only and will not comment on the substance of a grant application.

This waiver will be part of the grant record for the cycle 20.1 prevention grant applications.

De-Identified Overall Evaluation Scores

Dissemination of CPRIT-Funded Cancer Control Interventions

Prevention Cycle 20.1

As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities, programmatic review criteria, and the overall program portfolio.

Application ID	Final Overall Evaluation Score
PP200055*	2.0
PP200051*	3.0
Aa	3.0
Ab	5.0
ac	5.5

* Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com
Via email to Dee Margo assistant, Olivia Zepeda, zepedaox@elpasotexas.gov

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

Dear Mr. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.1 Evidence-Based Cancer Prevention Services (EBP), Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS), and Tobacco Control and Lung Cancer Screening awards.

The PRC met on January 17, 2020 to consider the applications recommended by the peer review panel following their December 10-11 meeting and to review the applications submitted to CPRIT under the Dissemination of CPRIT-Funded Cancer Control Interventions mechanism.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for fiscal year 2020 is $28,035,081. These recommended projects total $13,507,769.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,
Stephen W. Wyatt, DMD, MPH
Chair, CPRIT Prevention Review Council

Attachment

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Cycle 20.1 Recommended Prevention Program Awards

App. ID	Mech	Application Title	PD	Organization	Score	Rank Order	Budget
PP200006	EPS	De Casa en Casa 3: Cervical Cancer Screening in Underserved Rural and Border Communities in West and South Texas	Shokar, Navkiran	Texas Tech University Health Sciences Center at El Paso	1.9	1	$1,985,089
PP200055	DI	Advancing the Access to Cancer Training, Information, Outreach, and Navigation (ACTION) Project for CHW Dissemination of Resources to At-Risk Texas Regions	Bolin, Jane	Texas A&M University System Health Science Center	2.0	2	$ 300,000
PP200028	EPS	Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation	Basen-Engquist, Karen	The University of Texas M. D. Anderson Cancer Center	2.3	3	$ 1,999,200
PP200005	EPS	Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas	Berenson, Abbey	The University of Texas Medical Branch at Galveston	2.7	4	$ 1,993,096
PP200017	EPS	Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools	Cuccaro, Paula	The University of Texas Health Science Center at Houston	2.8	5	$ 1,960,631
PP200051	DI	Taking Texas Tobacco Free Through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings	Reitzel, Lorraine	University of Houston	3.0	6	$ 299,953
PP200034	EBP	Advancing Breast Health among Uninsured Women	Jacobs, Elizabeth	The University of Texas at Austin	3.1	7	$ 995,999
PP200040	TCL	BEXAR COUNTY'S NAVIGATION TO CESSATION (N2C)	Scott, Anthony	University Health System	3.2	8	$ 973,809
PP200009	EPS	The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation	Argenbright, Keith	The University of Texas Southwestern Medical Center	3.2	9	$ 2,000,000

PP200036	EBP	Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention	Pignone, Michael	The University of Texas at Austin	3.4	10	$ 999,992

EBP: Evidence-Based Cancer Prevention Services
EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
TCL: Tobacco Control and Lung Cancer Screening
DI: Dissemination of CPRIT-Funded Cancer Control Interventions

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Evidence-Based Cancer Prevention Services

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-20.1-EBP

Evidence-Based Cancer Prevention Services

Please also refer to the Instructions for Applicants document, which will be posted on June 6, 2019

Application Receipt Opening Date: June 6, 2019

Application Receipt Closing Date: September 4, 2019

FY 2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 5/9/2019 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 enhance 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 Prevention Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Prevention Program's principles and priorities will also guide CPRIT staff and the Prevention Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

Established Principles:

- Fund evidence-based interventions and their dissemination
- Support the prevention continuum of primary, secondary, and tertiary (includes survivorship) prevention interventions

Prevention Program Priorities

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

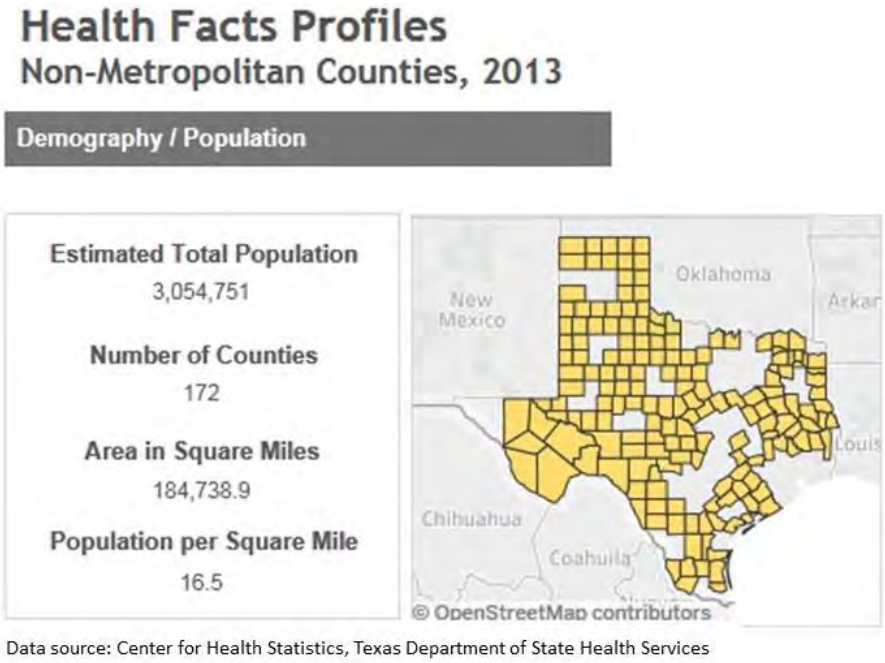
2. FUNDING OPPORTUNITY DESCRIPTION

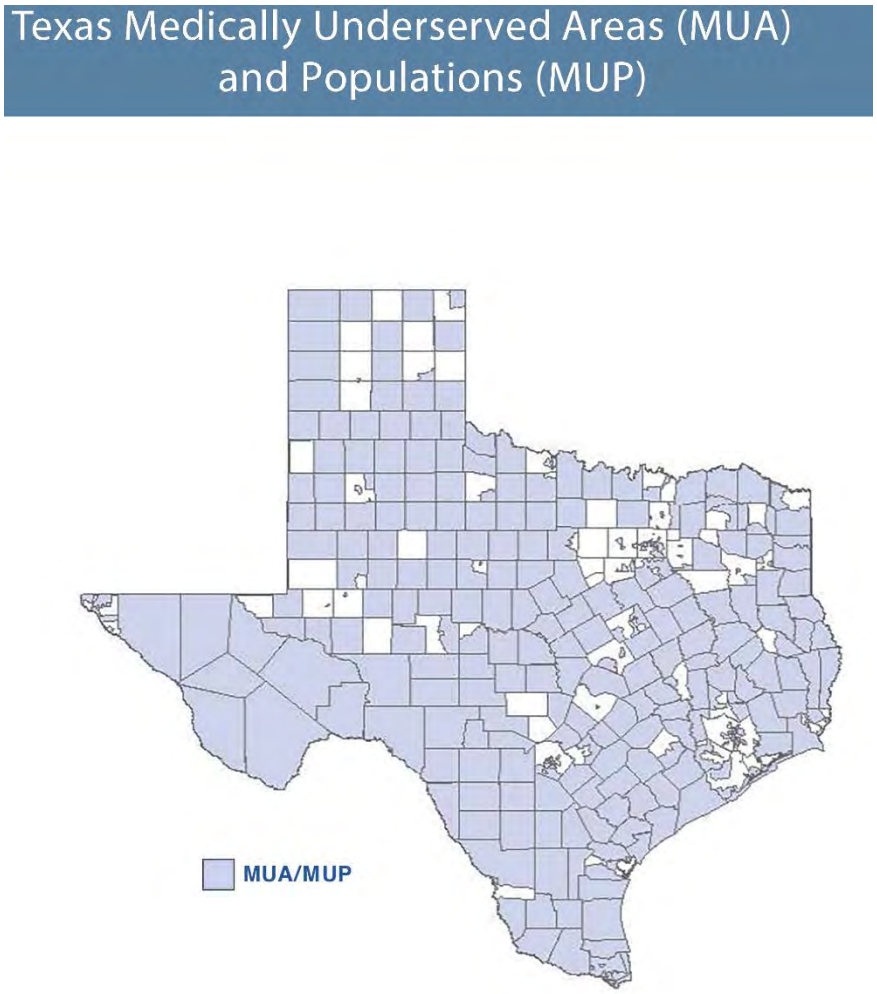
2.1 Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer. The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies. CPRIT fosters the primary, secondary, and tertiary prevention of cancer in Texas by providing financial support for a wide variety of evidence-based risk reduction, early detection, and survivorship interventions.

The **Evidence-Based Cancer Prevention Services (EBP)** award mechanism seeks to fund programs that greatly challenge the status quo in cancer prevention and control services. The proposed program should be designed to reach and serve as many people as possible.

Only proposals for new projects are eligible under this mechanism. Eligible applications must include the delivery of services to nonmetropolitan (rural) and medically underserved counties in the state. These may be identified via Web-based tools from the Texas Department of State Health Services and US Department of Health and Human Services respectively.





Data source: US Health Resources and Services Administration Data Warehouse, October 2017

Partnerships with other organizations that can support and leverage resources are strongly encouraged. A coordinated submission of a collaborative partnership program in which all partners have a substantial role in the proposed project is preferred.

2.2 Project Objectives

CPRIT seeks to fund projects that will do the following:

- Deliver comprehensive projects comprising all of the following: public and/or professional education, outreach, delivery of clinical services, follow-up navigation, and system and/or policy improvements.

- Offer effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area;
- Implement policy changes and/or system improvements that are sustainable over time (eg, decrease wait times between positive screen and diagnostic tests and treatment through improved navigation, reminder systems, etc) and treatment;
- Provide tailored, culturally appropriate outreach and accurate information on early detection and prevention to the public and health care professionals that results in a health impact that can be measured; and
- Deliver evidence-based survivorship services aimed at reducing the morbidity associated with cancer diagnosis and treatment.

2.3 Award Description

The Evidence-Based Cancer Prevention Services RFA solicits applications for eligible projects up to 36 months in duration that will deliver evidence-based services in cancer prevention and control to nonmetropolitan (rural) and medically underserved counties in Texas.

In addition to other primary prevention and screening/early detection services, CPRIT considers evidence-based clinical counseling services (eg, tobacco cessation, survivorship) when done on a one-on-one basis or in small groups and delivered by qualified providers as clinical services. This mechanism will fund case management/patient navigation to screening, to diagnostic testing, and to treatment. Applicants must ensure that there is access to treatment services for patients with cancers or precancers that are detected as a result of the project and must describe the process for ensuring access to treatment services in their application.

Applicants should not request funds for any of the above components if these components are already being funded from other sources. If clinical services are being provided and paid by others, the applicant must demonstrate and report on the outcomes and services that are delivered to the people navigated by the program.

The following are required components of the project:

- **Geographic Area to be Served:** Clinical service delivery to nonmetropolitan/medically underserved area (MUA) counties is required. Service to urban/nonmedically underserved

counties is allowable as long as the project proposes to also serve nonmetropolitan/medically underserved counties. Eligible projects in nonmetropolitan/medically underserved geographic areas not well served by the CPRIT portfolio (see maps at https://www.cprit.state.tx.us/our-programs/prevention/portfolio-maps) will receive priority consideration.

- **Comprehensive Projects:** Comprehensive projects include a continuum of services and systems and policy changes and comprise all of the following: Public and professional education and training, outreach, delivery of screening and diagnostic services, follow-up navigation, data collection and tracking, and systems improvement.
- **Evidence Based**: CPRIT's service grants are intended to fund effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area. The provision of clinical services must comply with established and current national guidelines (eg, US Preventive Services Task Force [USPSTF], American Cancer Society, etc).

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data (eg, availability of resources and screening coverage) for the target population and target service region are required. If no baseline data exist, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline.

Clinical Service and Community Partner Networks. If applicable to the proposed project, applicants are encouraged to coordinate and describe a collaboration of clinical service providers and community partners that can deliver outreach, education, clinical, and navigation services to the most counties and the most people possible in a selected service region. Partnerships with other organizations that can support and leverage resources (ie, community-based organizations, local and voluntary agencies, nonprofit agencies, groups that represent priority populations, etc) are encouraged. Letters of commitment or memoranda of understanding describing their specific role in the partnership will strengthen the application.

In cases where the project proposes to work with multiple clinical providers, the Program Director (PD) should facilitate the establishment of standard protocols for all clinical service providers in

the network as well as standard systems, policies, and procedures for the participating clinical service providers and organizations. These may include, but are not limited to, patient tracking and timely follow-up of all abnormal screening results and/or diagnoses of cancer.

CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness. Applicants must demonstrate how these outcomes will ultimately impact incidence, mortality, morbidity, or quality of life.

Under this RFA, CPRIT **will not** consider the following:

- **Projects focused solely on metropolitan/non–medically underserved counties.**
- **Currently or previously funded CPRIT Prevention projects.** These applicants should apply under the Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS) RFA.
- **Projects focusing solely on systems and/or policy change or solely on education and/or outreach** that do not include the delivery of cancer preventive clinical services.
- **Projects focused solely on counseling services** with no additional evidence-based clinical services.
- **Projects focusing solely on case management/patient navigation services.** Case management/patient navigation services must be paired with the delivery of a clinical cancer prevention service and reported to CPRIT. Furthermore, while navigation to the point of treatment of cancer is required when cancer is discovered through a CPRIT-funded project, applications seeking funds to provide coordination of care while an individual is in treatment are not allowed under this RFA.
- **Projects focusing on tobacco prevention and/or cessation for any age or computerized tomography screening for lung cancer for ages 55 to 77** should apply under CPRIT's Tobacco Control and Lung Cancer Screening RFA.
- **Projects involving prevention/intervention research.** Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at http://www.cprit.texas.gov).
- **Resources for the treatment of cancer or viral treatment for hepatitis.**

2.4 Priorities

Types of Cancer: Applications addressing any cancer type(s) that are responsive to this RFA will be considered for funding. See section 2.5 for specific areas of emphasis.

The Prevention Program's priorities for funding include the following:

1) Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence

CPRIT programs must address underserved populations. Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals;
- Medically unserved or underserved populations;
- Racial, ethnic, and cultural minority populations;
- Populations with low screening rates, high incidence rates, and high mortality rates, focusing on individuals never before screened or who are significantly out of compliance with nationally recommended screening guidelines (more than 5 years for breast/cervical cancers).

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, American Cancer Society).

2) Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. For this RFA, projects must propose to serve nonmetropolitan and/or MUAs of the state. In addition, projects addressing areas of emphasis (see section 2.5) will receive priority consideration.

Geographic and Population Balance in Current CPRIT portfolio

At the programmatic level of review conducted by the Prevention Review Council (see section

5.1), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see https://www.cprit.state.tx.us/our-programs/prevention/portfolio-maps and https://www.cprit.state.tx.us/grants-funded?search=prevention).

2.5 Specific Areas of Emphasis

CPRIT has identified the following areas of emphasis for this cycle of awards.

Primary Prevention
HPV Vaccination
• Increasing access to, delivery of, and completion of the HPV vaccine regimen to males and females through evidence-based intervention efforts in all areas of the state.[1]
Liver Cancer
• Screening for HBV infection and HCV infection in populations at high risk of infection and 1-time screening for HCV infection in adults born between 1945 and 1965.
• Increasing screening rates in Public Health Region (PHR) 8, 9, 10, and 11, where the highest rates of cancer incidence and mortality are found.[2]
Secondary Prevention - Screening and Early Detection Services
Colorectal Cancer
• Decreasing disparities in incidence and mortality rates of colorectal cancer in racial/ethnic populations. Blacks have the highest incidence and mortality rates, followed by non-Hispanic whites and Hispanics.[2]
• Increasing screening/detection rates in PHR 1, 2, 4, 5, and 9, where the highest rates of cancer incidence and mortality are found. • Decreasing incidence and mortality rates in nonmetropolitan counties. Incidence and mortality rates are higher in nonmetropolitan counties compared with metropolitan counties.[2]
Breast Cancer
• Decreasing disparities in mortality rates of breast cancer in racial/ethnic populations. The mortality rate is significantly higher in blacks than in other populations.[2]
• Increasing screening/detection rates in medically underserved areas of the state.
Cervical Cancer
• Decreasing disparities in incidence and mortality rates of cervical cancer in racial/ethnic populations. Hispanics have the highest incidence rates while blacks have the highest mortality rates.[2]
• Increasing screening/detection rates for women in PHR 2, 4, 5, and 11. Incidence is highest in Texas-Mexico border counties PHR 5 and 11. The mortality rate is highest in PHR 2, 4, 5, and 11.[2]

Tertiary Prevention – Survivorship Services
• Preventing secondary cancers and recurrence of cancer through evidence-based interventions.
• Improving quality of life of cancer survivors by managing the after effects of cancer, including the use of survivorship care plans.

2.6 Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified in the project plan and will serve as a measure of program effectiveness. Planned policy or system changes should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required**. In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline. Applicants are required to fully describe any planned systems or policy changes or improvements.

Reporting Requirements

Funded projects are required to report quantitative output and outcome metrics (as appropriate for each project) through the submission of quarterly progress reports, annual reports, and a final report.

If clinical services are being paid for and provided by others, the applicant is required to report on the number of clinical services and patient outcomes (eg, cancers detected) that are delivered to the people navigated by the program.

- Quarterly progress report sections include, but are not limited to, the following:
  - Summary page, including narrative on project progress (required);
  - Services, other than clinical services, provided to the public/professionals;
  - Actions taken by people/professionals as a result of education or training;
  - Clinical services provided (county of residence of client is required); and
  - Precursors and cancers detected.
- Annual and final progress report sections include, but are not limited to, the following:

- Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change;**
- Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate comprehensive preventive services to eligible individuals in a defined service area;
- Materials produced and publications; and
- Economic impact of the project.

2.7 Eligibility

- Eligible applications include only new cancer prevention projects.
- The applicant must be a Texas-based entity, such as a community-based organization, health institution, government organization, public or private company, college or university, or academic health institution.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted.
- The designated PD will be responsible for the overall performance of the funded project. The PD must have relevant education and management experience and must reside in Texas during the project performance time.
- The evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.
- The applicant may submit more than 1 application, but each application must be for distinctly different services without overlap in the services provided. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.
- If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.
- If the applicant or a partner is an existing Department of State Health Services (DSHS) contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations

within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.

- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's 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 created to benefit CPRIT.
- The applicant must report whether the applicant organization, the PD, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, (whether slated to receive salary or compensation under the grant award or not), are currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. CPRIT grants are funded on a reimbursement-only basis. 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 6. All statutory provisions and relevant administrative rules can be found on the CPRIT website.

2.8 Resubmission Policy

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

2.9 Funding Information

Applicants may request any amount of funding up to a maximum of $1 million in total funding over a maximum of 36 months. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, and travel of project personnel to project site(s). Requests for funds to support construction, renovation, or any other infrastructure needs or requests to support lobbying will not be approved under this mechanism. Grantees may request funds for travel for 2 project staff to attend CPRIT's conference.

The budget should be proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. In addition, CPRIT seeks to fill gaps in funding rather than replace existing

funding, supplant funds that would normally be expended by the applicant's organization, or make up for funding reductions from other sources.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the **total** award amount.

3. KEY DATES

RFA release	May 9, 2019
Online application opens	June 6, 2019, 7 AM central time
Application due	September 4, 2019, 4 PM central time
Application review	October 2019-January 2020
Award notification	February 2020
Anticipated start date	March 1, 2020

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

4. APPLICATION SUBMISSION GUIDELINES

4.1 *Instructions for Applicants* document

It is imperative that applicants read the accompanying instructions document for this RFA that will be available June 6, 2019 (https://CPRITGrants.org). Requirements may have changed from previous versions.

4.2 Online Application Receipt System

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 PD must create a user account in the system to start and submit an application. The Co-PD, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (an individual who will help manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on June 6, 2019, and must be submitted by 4 PM central time on September 4, 2019. Detailed instructions for

submitting an application are in the *Instructions for Applicants* document, posted on CARS. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

4.3 Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

4.4 Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Refer to the *Instructions for Applicants* document for details. **Submissions that are missing 1 or more components or do not meet the eligibility requirements may be administratively withdrawn without review.**

4.4.1 Abstract and Significance (5,000 characters)

Clearly explain the problem(s) to be addressed, the approach(es) to the solution, and how the application is responsive to this RFA. In the event that the project is funded, the abstract will be made public; therefore, no proprietary information should be included in this statement. Initial compliance decisions are based in part upon review of this statement.

The abstract format is as follows (use headings as outlined below):

- **Need:** Include a description of need in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.

- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached and people (public and/or professionals) served.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a major impact on cancer prevention and control for the population proposed to be served and for the State of Texas.

4.4.2 Goals and Objectives (700 characters each)

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within both the stated objective and the measure. Refer to the *Instructions for Applicants* document for details. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward outcome goals and objectives. See Appendix B for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not been defined, applicants are required to explain plans to establish baseline and describe method(s) of measurement.

4.4.3 Project Timeline (2 pages)

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1, 2, 3, and Months 1, 2, 3, etc, as applicable (eg, Year 1, Months 3-5) instead of specific months or years. Month 1 is the first full month of the grant award.

4.4.4 Project Plan (12 pages; fewer pages permissible)

The required project plan format follows. Applicants must use the headings outlined below.

Background: Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. Describe the race, ethnicity, age, and other defining characteristics of the population to be served.

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data for the priority population and target service area are required where applicable.

Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

Goals and Objectives: Process objectives should be included in the project plan. Outcome goals and objectives will be entered in separate fields in CARS. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here. See Appendix B for instructions on writing goals and objectives.

Components of the Project: Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative. If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see Appendix A for definitions and *Instructions for Applicants*). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. If clinical services are being paid for and provided by others, the applicant must explain and report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program. Applicants must also clearly describe plans to **ensure access to treatment services** should cancer be detected.

Evaluation Strategy: A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. If needed, applicants may want to consider seeking expertise at Texas-based academic cancer centers, schools/programs of public health, or the like. Applicants should budget accordingly for the evaluation activity and should involve that professional during grant application preparation to ensure, among other things, that the evaluation plan is linked to the proposed goals and objectives.

Organizational Qualifications and Capabilities: Describe the organization and its track record and success in providing programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

Program Sustainability: CPRIT funds projects that target needs not sufficiently covered by other funding sources. As CPRIT approaches the end of its funding authority in 2022, program sustainability is of paramount importance. CPRIT acknowledges that full maintenance and sustainability of CPRIT funded projects may not be feasible, especially in cases involving the delivery of clinical services. Educational and other less costly interventions may be more readily sustained. Full maintenance of a project, the ability of the grantee's setting or community to continue to deliver the health benefits of the intervention as funded, is not required; however, efforts toward sustainability are expected and must be described. Program sustainability capacity is defined as the ability to maintain a program and its benefits over time.

Washington University in St. Louis has developed a useful tool (Program Sustainability Assessment Tool) to assess program capacity for sustainability. They describe several factors that contribute to program sustainability. These factors include environmental support, funding stability, partnerships, organizational capacity, program evaluation, program adaptation, communication and strategic planning. Applicants are not required to use this tool; however, it

provides practical guidance on factors that should be considered and should be included in the application to describe a program's capacity for sustainability.

It is expected that steps toward building sustainability capacity for the program will be taken and plans for such be fully described in the application. The applicant should describe the factors that will contribute to the program's sustainability and plans for sustainability beyond the project end date.

Important factors to include in describing plans for sustainability include integration of the evidence-based intervention within the culture of the grantee's setting or community through policies and practices; plans for systems change that are sustainable over time (eg, improve provider practice, efficiency, cost-effectiveness); and activities (eg, training, identification of alternative resources, building internal assets) that build durable resources and enable the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.

Dissemination and Replication: Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination efforts should consider the message, source, audience and channel (Brownson, R.C., et al. *J Pub Health Manag Pract*. 24(2):102-111, March/April 2018). Dissemination methods may include, but are not limited to, presentations at workshops and seminars, one-on-one meetings, publications, news media, social media, etc.

While passive dissemination methods are common (eg, publications, presentations at professional meetings), plans should include some active dissemination methods (eg, meetings with stakeholders, blogs, social media). Applicants should describe their dissemination plans. The plans should include the kinds of audiences to be targeted and methods for reaching the targeted audiences.

Replication by others is an additional way to disseminate the project. For applicable components, describe how the project or components of the project lend themselves to application by other communities and/or organizations in the state or expansion in the same communities. Describe what components of this project can be adapted to a larger or lower resource setting. Note that some programs may have unique resources and may not lend themselves to replication by others.

4.4.5 People Reached (Indirect Contact)

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to Appendix A for definitions.

4.4.6 Number of Services Delivered (Direct Contact)

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each individual service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to Appendix A for definitions.

4.4.7 Number of Clinical Services Delivered

Provide the estimated overall number of clinical services directly delivered to members of the public by the funded project. Each individual clinical service should be counted, regardless of the number of services one person receives. Separately itemize the clinical services, with estimates, that led to the calculation of the overall estimate provided. Refer to Appendix A for definitions.

4.4.8 Number of Unique People Served (Direct Contact)

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to Appendix A for definitions.

4.4.9 References

Provide a concise and relevant list of references cited for the application. The successful applicant will provide referenced evidence and literature support for the proposed services.

4.4.10 Resubmission Summary

Use the template provided on the CARS (https://CPRITGrants.org). Describe the approach to the resubmission and how reviewers' comments were addressed. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections

of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed.

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

4.4.11 Most Recently Funded Project Summary (if applicable) (3 pages)

Upload a summary that outlines the progress made with the most recently funded CPRIT award. Applicants must describe results and outcomes of the most recently funded award and demonstrate why further funding is warranted.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed project.

In the description, include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following information:
  - Milestones/target dates and target metrics
  - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key outcomes. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.
- Describe steps taken toward sustainability for components of the project. Fully describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

4.4.12 CPRIT Grants Summary

Use the template provided on CARS (https://CPRITGrants.org). Provide a listing of **all** projects funded by the CPRIT Prevention program for the PD and the Co-PD, regardless of their connection to this application.

4.4.13 Budget and Justification

Provide a brief outline and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, travel, equipment, supplies, contractual expenses, services delivery, and other expenses. CPRIT funds will be distributed on a reimbursement basis. Applications requesting more than the maximum allowed cost (total costs) as specified in section 2.9 will be administratively withdrawn.

- **Average Cost per Person:** The average cost per person will be automatically calculated from the total cost of the project divided by the total number of unique people served (refer to Appendix A).
- **Average Cost per Service:** The average cost per service will be automatically calculated from the total cost of the project divided by the total number of services delivered (refer to Appendix A). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **Average Cost per Clinical Service:** The average cost per clinical service will be automatically calculated from the total cost of the project divided by the total number of clinical services delivered (refer to Appendix A).
- **Personnel:** The individual salary cap for CPRIT awards is $200,000 per year. Describe the source of funding for all project personnel where CPRIT funds are not requested.
- **Travel:** PDs and related project staff are expected to attend CPRIT's conference. CPRIT funds may be used to send up to 2 people to the conference.
- **Equipment:** Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application. Justification must be provided for why funding for this equipment cannot be found elsewhere; CPRIT funding should not supplant existing funds. Cost sharing of equipment purchases is strongly encouraged.

- **Services Costs:**
  - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested. If clinical services are being paid for and provided by others, the applicant is required to explain and report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program.
  - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF. In several cases (eg, breast self-exams, clinical breast exams, PSA tests), the Task Force has concluded there is not enough evidence available to draw reliable conclusions about the additional benefits and harms of these tests. (See https://www.uspreventiveservicestaskforce.org/)
- **Other Expenses:**
  - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is $25.
  - **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).
- **Indirect/Shared Costs:** Texas law limits the amount of grant funds that may be spent on indirect/shared expenses to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules.

4.4.14 Current and Pending Support and Sources of Funding

Use the template provided on the CARS (https://CPRITGrants.org). Describe the funding source and duration of **all** current and pending support for the proposed project, including a capitalization table that reflects private investors, if any.

4.4.15 Biographical Sketches

The designated PD will be responsible for the overall performance of the funded project and must have relevant education and management experience. The PD/Co-PD(s) must provide a biographical sketch that describes his or her education and training, professional experience, awards and honors, and publications and/or involvement in programs relevant to cancer prevention and/or service delivery.

- Use the Co-PD biographical sketch section ONLY if a Co-PD has been identified.
- The evaluation professional must provide a biographical sketch in the Evaluation Professional Biographical sketch section.
- Up to 3 additional biographical sketches for key personnel may be provided in the Key Personnel Biographical sketch section.

Each biographical sketch must not exceed 2 pages and should use the "Prevention Programs: Biographical Sketch" template provided on the CARS (https://CPRITGrants.org). Only biographical sketches will be accepted; do not submit resumes and/or CVs. If a position is not yet filled, please upload a job description.

4.4.16 Collaborating Organizations

List all key participating organizations that will partner with the applicant organization to provide 1 or more components essential to the success of the program (eg, evaluation, clinical services, recruitment to screening).

4.4.17 Letters of Commitment (10 pages)

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

5. APPLICATION REVIEW

5.1 Review Process Overview

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention

Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities. Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for**

reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, a Review Panel member, or a 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 State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

5.2 Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

5.2.1 Primary Evaluation Criteria

Impact

- Do the proposed services address an important problem or need in cancer prevention and control? Do the proposed project strategies support desired outcomes in cancer incidence, morbidity, and/or mortality? Do the proposed project strategies reach a priority population (eg, low income, minority, rural) at high risk of cancer?
- Will the project reach and serve/impact an appropriate number of people based on the budget allocated to providing services and the cost of providing services?

- If applicable, have partners demonstrated that the collaborative effort will provide a greater impact on cancer prevention and control than the applicant organization's effort separately?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?

Project Strategy and Feasibility

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?
- Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

Outcomes Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- If clinical services are being paid for and provided by others, does the applicant explain the methods used to collect data and report on these clinical services and outcomes?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?

- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services? Does the described role of each collaborating organization make it clear that each organization adds value to the project and is committed to working together to implement the project?
- Have the appropriate personnel been recruited to implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?

Program Sustainability

- Does the applicant describe **some** factors that will help ensure their program's sustainability (eg, strong environmental support, partnerships, organizational capacity, etc) and their plans to build capacity for sustainability?
- Does the applicant describe steps that will be taken and components of the project that will be integrated into the organization through policies and practices?
- Does the applicant describe a plan for systems changes that are sustainable over time; eg, improve results, provider practice, efficiency, cost-effectiveness?
- Does the applicant describe steps that the applicant organization or other entities will take or components of the project that will remain (eg, trained personnel, identification of alternative resources, building internal assets) to continue the delivery of <u>some or all</u> components of the evidence-based intervention once CPRIT funding ends?

5.2.2 Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?

- Is the project a good investment of Texas public funds?

Dissemination and Replication

- Are plans for dissemination of the project's results and outcomes, including target audiences and methods, clearly described?
- Are active dissemination strategies included and described in the plan?
- Does the applicant describe whether and/or how the project lends itself to replication of all or some components of the project by others in the state?

6. AWARD ADMINISTRATION

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules. 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 the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year

and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. 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.

7. CONTACT INFORMATION

7.1 Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding the scope and focus of applications. Before contacting the helpdesk, please refer to the *Instructions for Applicants* document (posted on June 6, 2019), which provides a step-by-step guide to using CARS.

Hours of operation:	Monday through Friday, 8 AM to 6 PM central time
Tel:	866-941-7146
Email:	Help@CPRITGrants.org

7.2 Program Questions

Questions regarding the CPRIT Prevention program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Prevention Program Office.

Tel:	512-305-8417
Email:	Help@CPRITGrants.org
Website:	www.cprit.texas.gov

8. RESOURCES

- The Texas Cancer Registry. https://www.dshs.texas.gov/tcr or contact the Texas Cancer Registry at the Department of State Health Services.
- The Community Guide. http://www.thecommunityguide.org/index.html
- Cancer Control P.L.A.N.E.T. http://cancercontrolplanet.cancer.gov
- Guide to Clinical Preventive Services: Recommendations of the U.S. Preventive Services Task Force. http://www.ahrq.gov/professionals/clinicians-providers/guidelines-recommendations/guide/
- Brownson, R.C., Colditz G.A., and Proctor, E.K. (Editors). *Dissemination and Implementation Research in Health: Translating Science to Practice.* Oxford University Press, March 2012
- Program Sustainability Assessment Tool, copyright 2012, Washington University, St. Louis, MO, https://www.sustaintool.org/about-us/
- Getting the Word Out: New Approaches for Disseminating Public Health Science Ross C. Brownson, PhD; Amy A. Eyler, PhD; Jenine K. Harris, PhD; Justin B. Moore, PhD, MS; Rachel G. Tabak, PhD, RD, **Journal of Public Health Management & Practice.** 24(2):102-111, March/April 2018. (https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting_the_Word_Out___New_Approaches_for.4.aspx)
- Centers for Disease Control and Prevention: The Program Sustainability Assessment Tool: A New Instrument for Public Health Programs. http://www.cdc.gov/pcd/issues/2014/13_0184.htm
- Centers for Disease Control and Prevention: Using the Program Sustainability Tool to Assess and Plan for Sustainability. http://www.cdc.gov/pcd/issues/2014/13_0185.htm
- Cancer Prevention and Control Research Network: Putting Public Health Evidence in Action Training Workshop. http://cpcrn.org/pub/evidence-in-action/
- Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf

9. REFERENCES

1. http://www.cdc.gov/hpv/parents/questions-answers.html
2. Texas Cancer Registry, Cancer Epidemiology and Surveillance Branch, Texas Department of State Health Services. https://www.cancer-rates.info/tx/

APPENDIX A: KEY TERMS

- **Activities:** A listing of the "who, what, when, where, and how" for each objective that will be accomplished
- **Capacity Building**: Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation or clinical services. Examples include people traveling to receive services as a result of marketing, and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities, and delivery of clinical services through clinics, mobile vans or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments. One individual may receive multiple education services.

- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT's website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit https://www.cprit.state.tx.us/our-programs/prevention.
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project (Appendix B).
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice.
- **Navigation Services:** Number of activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes. Examples include patient reminders, transportation assistance, and appointment scheduling assistance. One individual may receive multiple navigation services.
- **Number of Clinical Services:** Number of clinical services delivered directly to members of the public by the funded project. One individual may receive multiple clinical services.
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. One individual may receive multiple services.
- **Objectives:** Specific, **measurable**, actionable, realistic, and timely projections for outcomes; example: "Increase screening service provision in X population from Y% to Z% by 20xx." Baseline data for the priority population must be included as part of each objective (Appendix B). The proposed metric should be included in **both** the objective and the measure.
- **People Reached (Indirect Contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service announcements, newsletters, and journals. (This category includes individuals who would

be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project).

- **Unique People Served (Direct Contact):** Number of unique members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

APPENDIX B: WRITING GOALS AND OBJECTIVES

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within **both** the stated objective and the measure. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives.

The following has been adapted with permission from Appalachia Community Cancer Network, NIH Grant U54 CA 153604:

Develop well-defined goals and objectives.

Goals provide a roadmap or plan for where a group wants to go. Goals can be long term (over several years) or short term (over several months). Goals should be based on needs of the community and evidence-based data.

Goals should be:

- Believable – situations or conditions that the group believes can be achieved
- Attainable – possible within a designated time
- Tangible – capable of being understood or realized
- On a timetable – with a completion date
- Win-Win – beneficial to individual members and the coalition

Objectives are measurable steps toward achieving the goal. They are clear statements of specific activities required to achieve the goal. The best objectives have several characteristics in common – S.M.A.R.T. + C:

- Specific – they tell how much (number or percent), who (participants), what (action or activity), and by when (date)
  - Example: 115 uninsured individuals age 50 and older will complete colorectal cancer screening by March 31, 2018.
- Measurable – specific measures that can be collected, detected, or obtained to determine successful attainment of the objective
  - Example: How many screened at an event? How many completed pre/post assessment?

- Achievable – not only are the objectives themselves possible, it is likely that your organization will be able to accomplish them
- Relevant to the mission – your organization has a clear understanding of how these objectives fit in with the overall vision and mission of the group
- Timed – developing a timeline is important for when your task will be achieved
- Challenging – objectives should stretch the group to aim on significant improvements that are important to members of the community

Evaluate and refine your objectives

Review your developed objectives and determine the type and level of each using the following information:

There are 2 types of objectives:

- Outcome objectives – measure the "what" of a program; should be in the Goals and Objectives form (see section 4.4.2)
- Process objectives – measure the "how" of a program; should be in the project plan only (see section 4.4.4)

There are 3 levels of objectives:

- Community-level – objectives measure the planned community change
- Program impact – objectives measure the impact the program will have on a specific group of people
- Individual – objectives measures participant changes resulting from a specific program, using these factors:
  - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
  - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable is important)
  - Skills – the ability to do something (complete fecal occult blood test)
  - Intentions – regarding plan for future behavior (will agree to talk to the doctor, will plan to schedule a Pap test)

- Behaviors (past or current) – to act in a particular way (will exercise 30+ minutes a day, will have a mammogram)

Well-defined outcome goals and objectives can be used to track, measure, and report progress toward achievement.

Summary Table

	Outcome – Use in Goals and Objectives	Process – Use in Project Plan only
Community-level	WHAT will change in a community ***Example:*** *As a result of CPRIT funding, FIT (fecal immunochemical tests) will be available to 1,500 uninsured individuals age 50 and over through 10 participating local clinics and doctors.*	HOW the community change will come about ***Example:*** *Contracts will be signed with participating local providers to enable uninsured individuals over age 50 have access to free colorectal cancer screening in their communities.*
Program impact	WHAT will change in the target group as a result of a particular program ***Example:*** *As a result of this project, 200 uninsured women between 40 and 49 will receive free breast and cervical cancer screening.*	HOW the program will be implemented to affect change in a group/population ***Example:*** *2,000 female clients, between 40 and 49, will receive a letter inviting them to participate in breast and cervical cancer screening.*
Individual	WHAT an individual will learn as a result of a particular program, or WHAT change an individual will make as a result of a particular program ***Example:*** *As a result of one-to-one education of 500 individuals, at least 20% of participants will participate in a smoking cessation program to quit smoking.*	HOW the program will be implemented to affect change in an individual's knowledge or actions ***Example:*** *As a result of one-to-one counseling, all participants will identify at least 1 smoking cessation service and 1 smoking cessation aid.*

Third Party Observer Reports

Cancer Prevention and Research Institute of Texas (CPRIT)
Prevention Peer Review Meeting Panel 1
(20.1_PRV_PP-1)
Observation Report

Report No.	2019-12-11 20.1_PRV_ PP-1
Program Name:	Prevention
Panel Name:	Prevention Peer Review Meeting Panel 1 (20.1_PRV_ PP -1)
Panel Date:	12-10-2019 and 12-11-2019
Report Date:	12-17-2019

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 Prevention Peer Review Meeting Panel 1 (20.1_PRV_ PP-1) meeting. The meeting was chaired by Ross Brownson and conducted via in-person on December 10, 2019 and December 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; Fifteen (15) applications were discussed and fifteen (15) were not discussed on December 10, 2019; and two (2) applications were discussed on December 11, 2019
- Panelists: One (1) panel chair and twelve (12) expert reviewers and three (3) advocate reviewers on December 10 and 11, 2019,
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) GDIT or contracted staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were three (3) 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,

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)
20.1 Prevention Programmatic Review Panel (20.1_PRV_PRC)
Observation Report

Report No.	2020-01-17 20.1_PRV_PRC
Program Name:	Prevention
Panel Name:	20.1 Prevention Programmatic Review Panel (20.1_PRV_PRC)
Panel Date:	01-17-2020
Report Date:	01-28-2020

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 Prevention Programmatic Review - 20.1 (PRV_PRC_20.1) meeting. The meeting was chaired by Stephen Wyatt and conducted via teleconference on January 17, 2020.

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: Twelve (12) applications were discussed
- Panelists: One (1) panel chair and two (2) 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: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There was one (1) COI identified prior to and/or during the meeting; however, the application in question was not discussed during the conference call.

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,

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

CPRIT Prevention Cycle 20.1 Applications

Prevention Cycle 20.1 Applications Announced at the February 19, 2020, 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 Prevention Cycle 20.1 include *Evidence-Based Cancer Prevention Services; Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations; Tobacco Control and Lung Cancer Screening; and Dissemination of CPRIT-Funded Cancer Control Interventions*. 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/PD	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
PP200028	Karen Basen-Engquist	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen
PP200036	Michael Pignone	The University of Texas at Austin	Marcus Plescia
Applications not considered by the PIC or Oversight Committee			
PP200016	Walter Calmbach	The University of Texas Health Science Center at San Antonio	Ross Brownson

T.A.C. Section 702.19 Waiver

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO:	OVERSIGHT COMMITTEE MEMBERS
FROM:	WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT:	T.A.C. § 702.19 WAIVER
DATE:	JUNE 11, 2019

Summary

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Ramona Magid, CPRIT's Chief Prevention Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to the first prevention review cycle of FY 2020. No Oversight Committee action related to this waiver is necessary.

Background and Discussion

I promoted Ms. Magid to the Chief Prevention Officer position on June 1 following Dr. Becky Garcia's retirement. The Chief Prevention Officer is a statutorily mandated member of the Program Integration Committee (PIC). Texas Administrative Code § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

Traditionally, a chief program officer leads each CPRIT program with the assistance of a program manager. The program manager fields inquiries from and provides technical help to applicants completing their CPRIT grant applications. However, the prevention program manager position is vacant currently with Ms. Magid's promotion. Until CPRIT fills the program manager position, Ms. Magid is the sole point of contact for the prevention program. The communication waiver is necessary so that she can help grant applicants who have questions during the application process.

Approving this waiver does not favor any grant applicant over another. Ms. Magid will provide technical assistance only and will not comment on the substance of a grant application.

This waiver will be part of the grant record for the cycle 20.1 prevention grant applications.

De-Identified Overall Evaluation Scores

Evidence Based Cancer Prevention Services

Prevention Cycle 20.1

Application ID	Final Overall Evaluation Score
PP200034*	3.1
PP200036*	3.4
Ba	3.9
Bb	4.0
Bc	4.3
Bd	4.3
Be	4.8
Bf	5.3
Bg	5.8
Bh	5.8
Bi	6.3
Bj	6.8

* Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com
Via email to Dee Margo assistant, Olivia Zepeda, zepedaox@elpasotexas.gov

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

Dear Mr. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.1 Evidence-Based Cancer Prevention Services (EBP), Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS), and Tobacco Control and Lung Cancer Screening awards.

The PRC met on January 17, 2020 to consider the applications recommended by the peer review panel following their December 10-11 meeting and to review the applications submitted to CPRIT under the Dissemination of CPRIT-Funded Cancer Control Interventions mechanism.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for fiscal year 2020 is $28,035,081. These recommended projects total $13,507,769.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,
Stephen W. Wyatt, DMD, MPH
Chair, CPRIT Prevention Review Council

Attachment

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Cycle 20.1 Recommended Prevention Program Awards

App. ID	Mech	Application Title	PD	Organization	Score	Rank Order	Budget
PP200006	EPS	De Casa en Casa 3: Cervical Cancer Screening in Underserved Rural and Border Communities in West and South Texas	Shokar, Navkiran	Texas Tech University Health Sciences Center at El Paso	1.9	1	$1,985,089
PP200055	DI	Advancing the Access to Cancer Training, Information, Outreach, and Navigation (ACTION) Project for CHW Dissemination of Resources to At-Risk Texas Regions	Bolin, Jane	Texas A&M University System Health Science Center	2.0	2	$ 300,000
PP200028	EPS	Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation	Basen-Engquist, Karen	The University of Texas M. D. Anderson Cancer Center	2.3	3	$ 1,999,200
PP200005	EPS	Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas	Berenson, Abbey	The University of Texas Medical Branch at Galveston	2.7	4	$ 1,993,096
PP200017	EPS	Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools	Cuccaro, Paula	The University of Texas Health Science Center at Houston	2.8	5	$ 1,960,631
PP200051	DI	Taking Texas Tobacco Free Through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings	Reitzel, Lorraine	University of Houston	3.0	6	$ 299,953
PP200034	EBP	Advancing Breast Health among Uninsured Women	Jacobs, Elizabeth	The University of Texas at Austin	3.1	7	$ 995,999
PP200040	TCL	BEXAR COUNTY'S NAVIGATION TO CESSATION (N2C)	Scott, Anthony	University Health System	3.2	8	$ 973,809
PP200009	EPS	The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation	Argenbright, Keith	The University of Texas Southwestern Medical Center	3.2	9	$ 2,000,000

PP200036	EBP	Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention	Pignone, Michael	The University of Texas at Austin	3.4	10	$ 999,992

EBP: Evidence-Based Cancer Prevention Services
EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
TCL: Tobacco Control and Lung Cancer Screening
DI: Dissemination of CPRIT-Funded Cancer Control Interventions

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Expansion of Cancer Prevention Services to Rural and medically Underserved Populations

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-20.1-EPS

Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

Please also refer to the Instructions for Applicants document, which will be posted on June 6, 2019

Application Receipt Opening Date: June 6, 2019

Application Receipt Closing Date: September 4, 2019

FY 2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 5/9/2019 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 Prevention Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Prevention Program's principles and priorities will also guide CPRIT staff and the Prevention Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

Established Principles

- Fund evidence-based interventions and their dissemination
- Support the prevention continuum of primary, secondary, and tertiary (includes survivorship) prevention interventions

Prevention Program Priorities

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

2. FUNDING OPPORTUNITY DESCRIPTION

2.1 Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer.

The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies. CPRIT fosters the prevention of cancer in Texas by providing financial support for a wide variety of evidence-based prevention interventions.

This award mechanism seeks to support the coordination and expansion of evidence-based services to prevent cancer in underserved populations who do not have adequate access to cancer prevention interventions and health care, bringing together networks of public health and community partners to carry out programs tailored for their communities. Projects should identify cancers that cause the most burden in the community and use evidence-based models to prevent and control these cancers.

Eligible applicants include only those with currently or previously funded CPRIT Prevention projects). Eligible applicants should propose to expand their programs to include additional types of prevention clinical services or to expand current clinical services into additional counties. In either case, the expansion must include the delivery of services to nonmetropolitan (rural) and/or medically underserved counties in the state. These may be identified via Web-based tools from the Texas Department of State Health Services and US Department of Health and Human Services.

Health Facts Profiles
Non-Metropolitan Counties, 2013

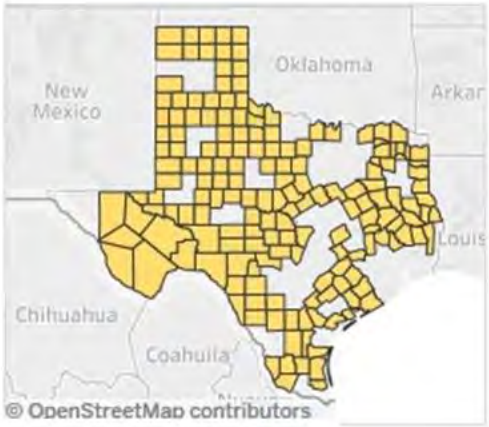
Demography / Population

Estimated Total Population
3,054,751

Number of Counties
172

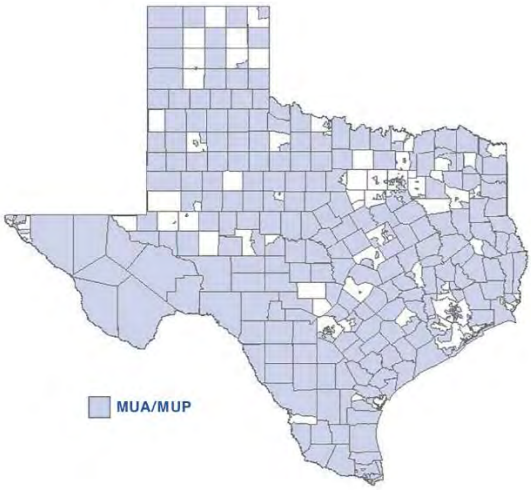
Area in Square Miles
184,738.9

Population per Square Mile
16.5



Data source: Center for Health Statistics, Texas Department of State Health Services

Texas Medically Underserved Areas (MUA) and Populations (MUP)



Data source: US Health Resources and Services Administration Data Warehouse, October 2017

2.2 Project Objectives

CPRIT seeks to fund evidence-based prevention projects that will do the following:

- Expand an eligible CPRIT project by adding and integrating the delivery of 1 or more of the following to an existing project:
  - Screenings and diagnostics for breast, cervical, colorectal cancers; hepatitis C virus; genetic risk factors
  - Vaccinations against HPV and hepatitis B virus
  - Evidence-based interventions focused on tobacco prevention (prevent tobacco use or sustained abstinence) and tobacco cessation among youth and/or adults
- Expand an eligible CPRIT project by adding and integrating the delivery of services to additional nonmetropolitan and/or medically underserved counties.
- Coordinate the resources (clinical service providers, community organizations, etc) in nonmetropolitan and medically underserved areas (MUAs) to increase the availability of services and, where providers are available, help connect people with their local health care providers.
- Leverage the infrastructure, networks, and resources that have been put in place by CPRIT supported projects while minimizing startup time.
- Deliver comprehensive projects comprising all of the following: public and/or professional education, outreach, delivery of clinical services, follow-up navigation, and system and/or policy improvements.
- Offer effective and efficient systems of delivery of prevention services based on the existing body of knowledge about, and evidence for, cancer prevention in ways that far exceed current performance in a given service area.
- Implement policy changes and/or system improvements that are sustainable over time (eg, decrease wait times between positive screen and diagnostic tests and treatment through improved navigation, reminder systems, etc) and treatment.

2.3 Award Description

CPRIT's **Expansion of Cancer Prevention Services** grants are intended to fund the expansion of eligible projects that have demonstrated exemplary success, as evidenced by progress reports and project evaluations, and desire to further enhance their impact on priority populations. Detailed

descriptions of **established infrastructure**, **results, barriers, outcomes, and impact of the most recently funded project are required** (see outline of Project Plan, section 4.4.4).

Projects in the last year of a current grant or previously funded projects may apply for this expansion. Programs must have at least 1 full year of data to report before applying (see section 2.7 eligibility criteria).

This mechanism will fund case management/patient navigation to screening, to diagnostic testing, and to treatment. Applicants must ensure that there is access to treatment services for patients with cancers or precancers that are detected as a result of the project and must describe in detail the process for ensuring access to treatment services in their application.

Applicants should not request funds for any of the above components if these components are already being funded from other sources. If clinical services are being provided and paid by others, the applicant must explain and report on the outcomes and services that are delivered to the people navigated by the program.

The following are required components of the project:

- **Expansion:** Expansion to nonmetropolitan/MUA counties and/or offering additional clinical services are required. To qualify for this Expansion RFA, CPRIT requires applicants to either add the delivery of 1 or more of the following clinical services to their project or to expand to additional nonmetropolitan and/or MUA counties.
  - Screenings for breast, cervical, colorectal cancers; hepatitis C virus; genetic risk factors
  - Vaccinations against HPV; hepatitis B virus
  - Evidence-based interventions focused on tobacco prevention (prevent tobacco use or sustained abstinence) and tobacco cessation among youth and/or adults

  Expansion of eligible projects into nonmetropolitan/medically underserved geographic areas not well served by the CPRIT portfolio (see maps at https://www.cprit.texas.gov/our-programs/prevention/portfolio-maps), will receive priority consideration.
- **Comprehensive Projects:** Comprehensive projects include a continuum of services and systems and policy changes and comprise all of the following: Public and/or professional education and training, outreach, delivery of screening and diagnostic services, follow-up navigation, data collection and tracking, and systems improvement.

- **Evidence Based**: CPRIT's service grants are intended to fund effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area. The provision of clinical services must comply with established and current national guidelines (eg, US Preventive Services Task Force [USPSTF], American Cancer Society, etc).

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data (eg, availability of resources and screening coverage) for the target population and target service region are required. If no baseline data exist, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline.

Clinical Service and Community Partner Networks. Applicants are encouraged to coordinate and describe a collaboration of clinical service providers and community partners that can deliver outreach, education, clinical, and navigation services to the most counties and the most people possible in a selected service region. Partnerships with other organizations that can support and leverage resources (ie, community-based organizations, local and voluntary agencies, nonprofit agencies, groups that represent priority populations, etc) are encouraged. Letters of commitment or memoranda of understanding describing their specific role in the partnership will strengthen the application. Leveraging of the infrastructure, existing networks and other resources that were established for the eligible CPRIT-funded project are expected and should be well described.

Project Coordination and Technical Assistance. The overall program should be directed and overseen by the Program Director (PD) who is responsible for establishing and managing the network. Responsibilities of the PD include the following:

- Establishing any necessary subcontracts or memoranda of understanding with project partners and clinical service providers;
- Regularly communicating with partners to discuss progress and barriers, resolve potential problems, and provide technical assistance as needed throughout the duration of the project;
- Meeting all reporting requirements. CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the

provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness.

If applicable, in cases where the project proposes to work with multiple clinical providers, the PD should facilitate the establishment of standard protocols for all clinical service providers in the network as well as standard systems, policies, and procedures for the participating clinical service providers and organizations. These may include, but are not limited to, patient tracking and timely follow-up of all abnormal screening results and/or diagnoses of cancer.

Under this RFA, CPRIT **will not** consider the following**:**

- **Continuation of currently funded projects.** Projects must include the required expansion criteria detailed in the RFA.
- **Projects focusing on computerized tomography screening for lung cancer for ages 55 to 77.** Applicants with projects including lung cancer CT screening should apply under CPRIT's Tobacco Control and Lung Cancer Screening RFA.
- **New evidence-based cancer prevention services projects;** these applicants should apply under CPRIT's Evidence-Based Cancer Prevention Services RFA.
- **Projects focused solely on systems and/or policy change or solely on education and/or outreach that do not include the delivery of cancer preventive clinical services.**
- **Projects focusing solely on case management/patient navigation services through the treatment phase of cancer.** Case management/patient navigation services must be paired with the delivery of a clinical cancer prevention service and reported to CPRIT.
- **Projects focused solely on counseling services with no additional evidence-based clinical services.**
- **Resources for the treatment of cancer or viral treatment for hepatitis.**
- **Prevention/intervention research** (Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at http://www.cprit.texas.gov).

2.4 Priorities

Types of Cancer: Applications addressing the services listed in section 2.2 Project Objectives and that are responsive to this RFA will be considered for funding.

The Prevention Program's priorities for funding include the following:

1) **Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.**

CPRIT programs must address underserved populations**.** Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals;
- Medically unserved or underserved populations;
- Racial, ethnic, and cultural minority populations;
- Populations with low screening rates, high incidence rates, and high mortality rates, focusing on individuals never before screened or who are significantly out of compliance with nationally recommended screening guidelines (more than 5 years for breast/cervical cancers).

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, American Cancer Society).

2) **Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.**

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. For this RFA, projects must propose to serve nonmetropolitan and/or MUAs of the state. In addition, projects addressing areas of emphasis (see section 2.5) will receive priority consideration.

Geographic and Population Balance in Current CPRIT portfolio

At the programmatic level of review conducted by the Prevention Review Council (see section 5.1), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see https://www.cprit.texas.gov/our-programs/prevention/portfolio-maps and https://www.cprit.texas.gov/grants-funded?search=prevention).

2.5 Specific Areas of Emphasis

Applications addressing any of the services listed in section 2.2 and that are responsive to this RFA will be considered. For those services, CPRIT has identified the following areas of emphasis for this cycle of awards.

Primary Prevention
HPV Vaccination
• Increasing access to, delivery of, and completion of the HPV vaccine regimen to males and females through evidence-based intervention efforts in all areas of the state.[1]
Tobacco Prevention and Control
• Vulnerable and high-risk populations, including people with mental illness, history of substance abuse, youth, and pregnant women, that have higher tobacco usage rates than the general population.
• Areas that have higher smoking rates per capita than other areas of the state. Public Health Regions (PHR) 4, 5, and 9 have significantly higher tobacco use among adults than in other regions of the state.
Liver Cancer
• Screening for HBV infection and HCV infection in populations at high risk of infection and 1-time screening for HCV infection in adults born between 1945 and 1965.
• Increasing screening rates in Public Health Region (PHR) 8, 9, 10, and 11, where the highest rates of cancer incidence and mortality are found.[2]
Secondary Prevention - Screening and Early Detection Services
Colorectal Cancer
• Decreasing disparities in incidence and mortality rates of colorectal cancer in racial/ethnic populations. Blacks have the highest incidence and mortality rates, followed by non-Hispanic whites and Hispanics.[2]
• Increasing screening/detection rates in PHR 1, 2, 4, 5, and 9, where the highest rates of cancer incidence and mortality are found. • Decreasing incidence and mortality rates in nonmetropolitan counties. Incidence and mortality rates are higher in nonmetropolitan counties compared with metropolitan counties.[2]
Breast Cancer
• Decreasing disparities in mortality rates of breast cancer in racial/ethnic populations. The mortality rate is significantly higher in blacks than in other populations.[2]
• Increasing screening/detection rates in medically underserved areas of the state.

Cervical Cancer
• Decreasing disparities in incidence and mortality rates of cervical cancer in racial/ethnic populations. Hispanics have the highest incidence rates while blacks have the highest mortality rates.[2]
• Increasing screening/detection rates for women in PHR 2, 4, 5, and 11. Incidence is highest in Texas-Mexico border counties (PHR 5 and 11). The mortality rate is highest in PHR 2, 4, 5, and 11.[2]

2.6 Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified in the project plan and will serve as a measure of program effectiveness. Planned policy or system changes should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required**. In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline. Applicants are required to fully describe any planned systems or policy changes or improvements.

Reporting Requirements

Funded projects are required to report quantitative output and outcome metrics (as appropriate for each project) through the submission of quarterly progress reports, annual reports, and a final report.

If clinical services are being paid for and provided by others, the applicant is required to report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program.

- Quarterly progress report sections include, but are not limited to the following:
  - Summary page, including narrative on project progress (required);
  - Services, other than clinical services, provided to the public/professionals;
  - Actions taken by people/professionals as a result of education or training;
  - Clinical services provided (county of residence of client is required); and

- Precursors and cancers detected.

- Annual and final progress report sections include, but are not limited to, the following:
  - Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change;**
  - Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate comprehensive preventive services to eligible individuals in a defined service area;
  - Materials produced and publications; and
  - Economic impact of the project.

2.7 Eligibility

- Eligible applicants include only those with currently or previously funded CPRIT Prevention projects.
- To justify the expansion, applicants must leverage the infrastructure and networks of the most recently funded CPRIT project.
- Applicants may submit an expansion application before the end of the currently funded project but should time their submission during the last year of the current project to ensure minimal overlap of funding. Unexpended funds from the original project will not carry forward to the expansion project. To apply for an expansion of a current project, projects must have at least 1 full year of results and data.
- The applicant must be a Texas-based entity that previously received CPRIT funding through Prevention Program RFAs.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted.
- The designated Program Director (PD) will be responsible for the overall performance of the funded project. The PD must have relevant education and management experience and must reside in Texas during the project performance time.
- The evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.
- If the applicant or a partner is an existing Department of State Health Services (DSHS) contractor, CPRIT funds may not be used as a match, and the application must explain how

this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.

- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's 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 created to benefit CPRIT.
- The applicant must report whether the applicant organization, the PD, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way (whether slated to receive salary or compensation under the grant award or not), are currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. CPRIT grants are funded on a reimbursement-only basis. 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 6. All statutory provisions and relevant administrative rules can be found on the CPRIT website.

2.8 Resubmission Policy

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

2.9 Funding Information

Applicants may request any amount of funding up to a maximum of $2 million in total funding over a maximum of 36 months. A significant expansion in the geographic area and/or clinical services provided and number of people served is required if requesting $2 million. However, CPRIT expects most applicants to request funding well below the upper range. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, and travel of project personnel to project site(s). Applicants must ensure that there is access to treatment services for patients with cancers that are detected as a result of the program and must describe access to treatment services

in their application. Requests for funds to support construction or renovation or requests to support lobbying will not be approved under this mechanism. Cost sharing for equipment purchases is encouraged. Grantees may request funds for travel for 2 project staff to attend CPRIT's conference.

The budget should be proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. In addition, CPRIT funding should not be used to replace existing funding, supplant funds that would normally be expended by the applicant's organization, or make up for funding reductions from other sources.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the **total** award amount.

3. KEY DATES

RFA release	May 9, 2019
Online application opens	June 6, 2019, 7 AM central time
Application due	September 4, 2019, 4 PM central time
Application review	October 2019-January 2020
Award notification	February 2020
Anticipated start date	March 1, 2020

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

4. APPLICATION SUBMISSION GUIDELINES

4.1 *Instructions for Applicants* document

It is imperative that applicants read the accompanying instructions document for this RFA that will be available June 6, 2019 (https://CPRITGrants.org). Requirements may have changed from previous versions.

4.2 Online Application Receipt System

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 PD must create a user account in the system to start and submit an

application. The Co-PD, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (an individual who will help manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on June 6, 2019, and must be submitted by 4 PM central time on September 4, 2019. Detailed instructions for submitting an application are in the *Instructions for Applicants* document, posted on CARS. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

4.3 Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

4.4 Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Refer to the *Instructions for Applicants* document for details. **Submissions that are missing 1 or more components or do not meet the eligibility requirements may be administratively withdrawn without review.**

4.4.1 Abstract and Significance (5,000 characters)

Clearly explain the problem(s) to be addressed, the approach(es) to the solution, and how the application is responsive to this RFA. In the event that the project is funded, the abstract will be made public; therefore, no proprietary information should be included in this statement. Initial compliance decisions are based in part upon review of this statement.

The abstract format is as follows (use headings as outlined below):

- **Need:** Include a description of need in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.

- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.
- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached and people (public and/or professionals) served.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a major impact on cancer prevention and control for the population proposed to be served and for the State of Texas.

4.4.2 Goals and Objectives (700 characters each)

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within both the stated objective and the measure. Refer to the *Instructions for Applicants* document for details. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward outcome goals and objectives. See Appendix B for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not been defined, applicants are required to explain plans to establish baseline and describe method(s) of measurement.

4.4.3 Project Timeline (2 pages)

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1, 2, 3, and Months 1, 2, 3, etc, as applicable (eg, Year 1, Months 3-5) instead of specific months or years. Month 1 is the first full month of the grant award.

4.4.4 Project Plan (12 pages; fewer pages permissible)

The required project plan format follows. Applicants must use the headings outlined below.

Background: Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. Describe the race, ethnicity, age, and other defining characteristics of the population to be served.

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data for the priority population and target service area are required where applicable.

Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

Goals and Objectives: Process objectives should be included in the project plan. Outcome goals and objectives will be entered in separate fields in CARS. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here. See Appendix B for instructions on writing goals and objectives.

Components of the Project: Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative. Describe how the proposed project leverages the infrastructure, networks and resources that have been put in place by the most recently funded CPRIT project while minimizing startup time.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see Appendix A for definitions and *Instructions for Applicants*). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. Describe any planned policy changes or system improvements. If clinical services are being paid for and provided by others, the applicant must explain and report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program. Applicants must also clearly and thoroughly describe plans to **ensure access to treatment** services should cancer be detected.

Evaluation Strategy: A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. If needed, applicants may want to consider seeking expertise at Texas-based academic cancer centers, schools/programs of public health, or the like. Applicants should budget accordingly for the evaluation activity and should involve that professional during grant application preparation to ensure, among other things, that the evaluation plan is linked to the proposed goals and objectives.

Organizational Qualifications and Capabilities: Describe the organization and its track record and success in providing programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

Program Sustainability: CPRIT funds projects that target needs not sufficiently covered by other funding sources. As CPRIT approaches the end of its funding authority in 2022, program sustainability is of paramount importance. CPRIT acknowledges that full maintenance and sustainability of CPRIT funded projects may not be feasible, especially in cases involving the delivery of clinical services. Educational and other less costly interventions may be more readily sustained. Full maintenance of a project, the ability of the grantee's setting or community to continue to deliver the health benefits of the intervention as funded, is not required; however,

efforts toward sustainability are expected and must be described. Program sustainability capacity is defined as the ability to maintain a program and its benefits over time.

Washington University in St. Louis has developed a useful tool (Program Sustainability Assessment Tool) to assess program capacity for sustainability. They describe several factors that contribute to program sustainability. These factors include environmental support, funding stability, partnerships, organizational capacity, program evaluation, program adaptation, communication and strategic planning. Applicants are not required to use this tool; however, it provides practical guidance on factors that should be considered and should be included in the application to describe a program's capacity for sustainability.

It is expected that steps toward building sustainability capacity for the program will be taken and plans for such be fully described in the application. The applicant should assess and describe their current activities and capacity for sustainability and plans for sustainability beyond the project's end date.

Important factors to include in describing plans for sustainability include integration of the evidence-based intervention within the culture of the grantee's setting or community through policies and practices; plans for systems change that are sustainable over time (eg, improve provider practice, efficiency, cost-effectiveness); and activities (eg, training, identification of alternative resources, building internal assets) that build durable resources and enable the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.

Dissemination and Replication: Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination efforts should consider the message, source, audience and channel (Brownson, R.C., et al. *J Pub Health Manag Pract*. 24(2):102-111, March/April 2018). Dissemination methods may include, but are not limited to, presentations at workshops and seminars, one-on-one meetings, publications, news media, social media, etc.

While passive dissemination methods are common (eg, publications, presentations at professional meetings), plans should include some active dissemination methods (eg, meetings with stakeholders, blogs, social media). Applicants should describe their dissemination plans. The plans

should include the kinds of audiences to be targeted and methods for reaching the targeted audiences.

Replication by others is an additional way to disseminate the project. For applicable components, describe how the project or components of the project lend themselves to application by other communities and/or organizations in the state or expansion in the same communities. Describe what components of this project can be adapted to a larger or lower resource setting. Note that some programs may have unique resources and may not lend themselves to replication by others.

4.4.5 People Reached (Indirect Contact)

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to Appendix A for definitions.

4.4.6 Number of Services Delivered (Direct Contact)

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each individual service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to Appendix A for definitions.

4.4.7 Number of Clinical Services Delivered

Provide the estimated overall number of clinical services directly delivered to members of the public by the funded project. Each individual clinical service should be counted, regardless of the number of services one person receives. Separately itemize the clinical services, with estimates, that led to the calculation of the overall estimate provided. Refer to Appendix A for definitions.

4.4.8 Number of Unique People Served (Direct Contact)

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to Appendix A for definitions.

4.4.9 References

Provide a concise and relevant list of references cited for the application. The successful applicant will provide referenced evidence and literature support for the proposed services.

4.4.10 Resubmission Summary

Use the template provided on the CARS (https://CPRITGrants.org). Describe the approach to the resubmission and how reviewers' comments were addressed. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed.

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

4.4.11 Most Recently Funded Project Summary (3 pages)

Upload a summary that outlines the progress made with the most recently funded CPRIT award. Applicants must describe and demonstrate how appropriate/adequate progress has been made on the most recently funded award to warrant expansion of the project.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed expansion project.

In the description include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following information:
  - Milestones/target dates and target metrics
  - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key

outcomes. If the project has not yet ended, provide projections for completion dates and final metrics. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.

- Describe steps taken toward sustainability for components of the project. Fully describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

4.4.12 CPRIT Grants Summary

Use the template provided on the CARS (https://CPRITGrants.org). Provide a listing of **all** CPRIT-funded projects of the PD and the Co-PD, regardless of their connection to this application.

4.4.13 Budget and Justification

Provide a brief outline and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, travel, equipment, supplies, contractual expenses, services delivery, and other expenses. CPRIT funds will be distributed on a reimbursement basis. Applications requesting more than the maximum allowed cost (total costs) as specified in section 2.9 will be administratively withdrawn.

- **Average Cost per Service:** The average cost per service will be automatically calculated from the total cost of the project divided by the total number of services delivered (refer to Appendix A). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **Average Cost per Person:** The average cost per person will be automatically calculated from the total cost of the project divided by the total number of unique people served (refer to Appendix A).
- **Average Cost per Clinical Service:** The average cost per clinical service will be automatically calculated from the total cost of the project divided by the total number of clinical services delivered (refer to Appendix A).
- **Personnel:** The individual salary cap for CPRIT awards is $200,000 per year. Describe the source of funding for all project personnel where CPRIT funds are not requested.
- **Travel:** PDs and related project staff are expected to attend CPRIT's conference. CPRIT funds may be used to send up to 2 people to the conference.

- **Equipment:** Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application. Justification must be provided for why funding for this equipment cannot be found elsewhere; CPRIT funding should not supplant existing funds. Cost sharing of equipment purchases is strongly encouraged.

- **Services Costs:**
  - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested. If clinical services are being paid for and provided by others, the applicant is required to explain and report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program.
  - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF. In several cases (eg, breast self-exams, clinical breast exams, PSA tests), the Task Force has concluded there is not enough evidence available to draw reliable conclusions about the additional benefits and harms of these tests. (See https://www.uspreventiveservicestaskforce.org/)
- **Other Expenses:**
  - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is $25.
  - **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).
- **Indirect/Shared Costs:** Texas law limits the amount of grant funds that may be spent on indirect/shared expenses to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules.

4.4.14 Current and Pending Support and Sources of Funding

Use the template provided on the CARS (https://CPRITGrants.org). Describe the funding source and duration of **all** current and pending support for the proposed project, including a capitalization table that reflects private investors, if any.

4.4.15 Biographical Sketches

The designated PD will be responsible for the overall performance of the funded project and must have relevant education and management experience. The PD/Co-PD(s) must provide a biographical sketch that describes his or her education and training, professional experience, awards and honors, and publications and/or involvement in programs relevant to cancer prevention and/or service delivery.

- Use the Co-PD biographical sketch section ONLY if a Co-PD has been identified.
- The evaluation professional must provide a biographical sketch in the Evaluation Professional Biographical sketch section.
- Up to 3 additional biographical sketches for key personnel may be provided in the Key Personnel Biographical sketch section.

Each biographical sketch must not exceed 2 pages and should use the "Prevention Programs: Biographical Sketch" template provided on the CARS (https://CPRITGrants.org). Only biographical sketches will be accepted; do not submit resumes and/or CVs. If a position is not yet filled, please upload a job description.

4.4.16 Collaborating Organizations

List all key participating organizations that will partner with the applicant organization to provide 1 or more components essential to the success of the program (eg, evaluation, clinical services, recruitment to screening).

4.4.17 Letters of Commitment (10 pages)

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

5. APPLICATION REVIEW

5.1 Review Process Overview

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention

Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities. Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for**

reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9**.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, a Review Panel member, or a 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 State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

5.2 Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

5.2.1 Primary Evaluation Criteria

Impact

- Do the proposed services address an important problem or need in cancer prevention and control? Do the proposed project strategies support desired outcomes in cancer incidence, morbidity, and/or mortality? Do the proposed project strategies reach a priority population (eg, low income, minority, rural) at high risk of cancer?

- For the proposed expansion, does the project build on its initial results (baseline)? Does it go beyond the initial project to address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Will the project reach and serve/impact an appropriate number of people based on the budget allocated to providing services and the cost of providing services?
- If applicable, have partners demonstrated that the collaborative effort will provide a greater impact on cancer prevention and control than the applicant organization's effort separately?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?

Project Strategy and Feasibility

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?
- Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

Outcomes Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?

- If clinical services are being paid for and provided by others, does the applicant explain the methods used to collect data and report on these clinical services and outcomes?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?
- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services? Does the described role of each collaborating organization make it clear that each organization adds value to the project and is committed to working together to implement the project?
- Have the appropriate personnel been recruited to implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?

Program Sustainability

- Does the applicant describe their current activities and capacity for sustainability and plans for sustainability beyond the project's end date?
- Does the applicant describe steps that will be taken and components of the project that will be integrated into the organization through policies and practices?
- Does the applicant describe a plan for systems changes that are sustainable over time; eg, improve results, provider practice, efficiency, cost-effectiveness?
- Does the applicant describe steps that the applicant organization or other entities will take or components of the project that will remain (eg, trained personnel, identification of alternative resources, building internal assets) to continue the delivery of <u>some or all</u> components of the evidence-based intervention once CPRIT funding ends?

5.2.2 Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

Dissemination and Replication

- Are plans for dissemination of the project's results and outcomes, including target audiences and methods clearly described?
- Are active dissemination strategies included and described in the plan?
- Does the applicant describe whether and/or how the project lends itself to replication of all or some components of the project by others in the state?

6. AWARD ADMINISTRATION

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules. 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 the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. 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.

7. CONTACT INFORMATION

7.1 Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding the scope and focus of applications. Before contacting the helpdesk, please refer to the *Instructions for Applicants* document (posted on June 6, 2019), which provides a step-by-step guide to using CARS.

Hours of operation:	Monday through Friday, 8 AM to 6 PM central time
Tel:	866-941-7146
Email:	Help@CPRITGrants.org

7.2 Program Questions

Questions regarding the CPRIT Prevention program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Prevention Program Office.

Tel:	512-305-8417
Email:	Help@CPRITGrants.org
Website:	www.cprit.texas.gov

8. RESOURCES

- The Texas Cancer Registry. https://www.dshs.texas.gov/tcr or contact the Texas Cancer Registry at the Department of State Health Services.
- The Community Guide. http://www.thecommunityguide.org/index.html
- Cancer Control P.L.A.N.E.T. http://cancercontrolplanet.cancer.gov
- Guide to Clinical Preventive Services: Recommendations of the U.S. Preventive Services Task Force. http://www.ahrq.gov/professionals/clinicians-providers/guidelines-recommendations/guide/
- Brownson, R.C., Colditz G.A., and Proctor, E.K. (Editors). *Dissemination and Implementation Research in Health: Translating Science to Practice.* Oxford University Press, March 2012
- Program Sustainability Assessment Tool, copyright 2012, Washington University, St. Louis, MO, https://www.sustaintool.org/about-us/
- Getting the Word Out: New Approaches for Disseminating Public Health Science Ross C. Brownson, PhD; Amy A. Eyler, PhD; Jenine K. Harris, PhD; Justin B. Moore, PhD, MS; Rachel G. Tabak, PhD, RD, **Journal of Public Health Management & Practice.** 24(2):102-111, March/April 2018. (https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting_the_Word_Out___New_Approaches_for.4.aspx)
- Centers for Disease Control and Prevention: The Program Sustainability Assessment Tool: A New Instrument for Public Health Programs. http://www.cdc.gov/pcd/issues/2014/13_0184.htm
- Centers for Disease Control and Prevention: Using the Program Sustainability Tool to Assess and Plan for Sustainability. http://www.cdc.gov/pcd/issues/2014/13_0185.htm
- Cancer Prevention and Control Research Network: Putting Public Health Evidence in Action Training Workshop. http://cpcrn.org/pub/evidence-in-action/
- Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf

9. REFERENCES

1. http://www.cdc.gov/hpv/parents/questions-answers.html
2. Texas Cancer Registry, Cancer Epidemiology and Surveillance Branch, Texas Department of State Health Services. https://www.cancer-rates.info/tx/

APPENDIX A: KEY TERMS

- **Activities:** A listing of the "who, what, when, where, and how" for each objective that will be accomplished.
- **Capacity Building:** Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation or clinical services. Examples include people traveling to receive services as a result of marketing, and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities, and delivery of clinical services through clinics, mobile vans or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments. One individual may receive multiple education services.

- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT's website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit https://www.cprit.state.tx.us/our-programs/prevention.
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project. (Appendix B)
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice.
- **Navigation Services:** Number of unique activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes (Examples include patient reminders, transportation assistance, and appointment scheduling assistance). One individual may receive multiple navigation services.
- **Number of Clinical Services:** Number of clinical services delivered directly to members of the public by the funded project. One individual may receive multiple clinical services.
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. One individual may receive multiple services.
- **Objectives:** Specific, measurable, actionable, realistic, and timely projections for outcomes; example: "Increase screening service provision in X population from Y% to Z% by 20xx." Baseline data for the priority population must be included as part of each objective. (Appendix B). The proposed metric should be included in **both** the objective and the measure.
- **People Reached (Indirect Contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service

announcements, newsletters, and journals. (This category includes individuals who would be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project).

- **Unique People Served (Direct Contact):** Number of unique members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

APPENDIX B: WRITING GOALS AND OBJECTIVES

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within **both** the stated objective and the measure. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives.

The following guide has been adapted with permission from Appalachia Community Cancer Network, NIH Grant U54 CA 153604:

Develop well-defined goals and objectives.

Goals provide a roadmap or plan for where a group wants to go. Goals can be long term (over several years) or short term (over several months). Goals should be based on needs of the community and evidence-based data.

Goals should be:

- Believable – situations or conditions that the group believes can be achieved
- Attainable – possible within a designated time
- Tangible – capable of being understood or realized
- On a timetable – with a completion date
- Win-Win – beneficial to individual members and the coalition

Objectives are measurable steps toward achieving the goal. They are clear statements of specific activities required to achieve the goal. The best objectives have several characteristics in common – S.M.A.R.T. + C:

- Specific – they tell how much (number or percent), who (participants), what (action or activity), and by when (date)
  - Example: 115 uninsured individuals age 50 and older will complete colorectal cancer screening by March 31, 2018.
- Measurable – specific measures that can be collected, detected, or obtained to determine successful attainment of the objective.
  - Example: How many screened at an event? How many completed pre/post assessment?

- Achievable – not only are the objectives themselves possible, it is likely that your organization will be able to accomplish them
- Relevant to the mission – your organization has a clear understanding of how these objectives fit in with the overall vision and mission of the group
- Timed – developing a timeline is important for when your task will be achieved
- Challenging – objectives should stretch the group to aim on significant improvements that are important to members of the community

Evaluate and refine your objectives

Review your developed objectives and determine the type and level of each using the following information:

There are 2 types of objectives:

- Outcome objectives – measure the "what" of a program; should be in the Goals and Objectives form (see section 4.4.2)
- Process objectives – measure the "how" of a program; should be in the project plan only (see section 4.4.4)

There are 3 levels of objectives:

- Community-level – objectives measure the planned community change
- Program impact – objectives measure the impact the program will have on a specific group of people
- Individual – objectives measures participant changes resulting from a specific program, using these factors:
  - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
  - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable is important)
  - Skills – the ability to do something (complete fecal occult blood test)
  - Intentions – regarding plan for future behavior (will agree to talk to the doctor, will plan to schedule a Pap test)
  - Behaviors (past or current) – to act in a particular way (will exercise 30+ minutes a day, will have a mammogram)

Well-defined outcome goals and objectives can be used to track, measure, and report progress toward achievement.

Summary Table

	Outcome – Use in Goals and Objectives	Process – Use in Project Plan only
Community-level	WHAT will change in a community ***Example:*** *As a result of CPRIT funding, FIT (fecal immunochemical tests) will be available to 1,500 uninsured individuals age 50 and over through 10 participating local clinics and doctors.*	HOW the community change will come about ***Example:*** *Contracts will be signed with participating local providers to enable uninsured individuals over age 50 have access to free colorectal cancer screening in their communities.*
Program impact	WHAT will change in the target group as a result of a particular program ***Example:*** *As a result of this project, 200 uninsured women between 40 and 49 will receive free breast and cervical cancer screening.*	HOW the program will be implemented to affect change in a group/population ***Example:*** *2,000 female clients, between 40 and 49, will receive a letter inviting them to participate in breast and cervical cancer screening.*
Individual	WHAT an individual will learn as a result of a particular program, or WHAT change an individual will make as a result of a particular program ***Example:*** *As a result of one-to-one education of 500 individuals, at least 20% of participants will participate in a smoking cessation program to quit smoking.*	HOW the program will be implemented to affect change in an individual's knowledge or actions ***Example:*** *As a result of one-to-one counseling, all participants will identify at least 1 smoking cessation service and 1 smoking cessation aid.*

Third Party Observer Reports

Cancer Prevention and Research Institute of Texas (CPRIT)
Prevention Peer Review Meeting Panel 1
(20.1_PRV_PP-1)
Observation Report

Report No.	2019-12-11 20.1_PRV_ PP-1
Program Name:	Prevention
Panel Name:	Prevention Peer Review Meeting Panel 1 (20.1_PRV_ PP -1)
Panel Date:	12-10-2019 and 12-11-2019
Report Date:	12-17-2019

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 Prevention Peer Review Meeting Panel 1 (20.1_PRV_ PP-1) meeting. The meeting was chaired by Ross Brownson and conducted via in-person on December 10, 2019 and December 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; Fifteen (15) applications were discussed and fifteen (15) were not discussed on December 10, 2019; and two (2) applications were discussed on December 11, 2019
- Panelists: One (1) panel chair and twelve (12) expert reviewers and three (3) advocate reviewers on December 10 and 11, 2019,
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) GDIT or contracted staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were three (3) 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,

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)
20.1 Prevention Programmatic Review Panel (20.1_PRV_PRC)
Observation Report

Report No.	2020-01-17 20.1_PRV_PRC
Program Name:	Prevention
Panel Name:	20.1 Prevention Programmatic Review Panel (20.1_PRV_PRC)
Panel Date:	01-17-2020
Report Date:	01-28-2020

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 Prevention Programmatic Review - 20.1 (PRV_PRC_20.1) meeting. The meeting was chaired by Stephen Wyatt and conducted via teleconference on January 17, 2020.

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: Twelve (12) applications were discussed
- Panelists: One (1) panel chair and two (2) 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: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There was one (1) COI identified prior to and/or during the meeting; however, the application in question was not discussed during the conference call.

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,

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

CPRIT Prevention Cycle 20.1 Applications

Prevention Cycle 20.1 Applications Announced at the February 19, 2020, 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 Prevention Cycle 20.1 include *Evidence-Based Cancer Prevention Services; Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations; Tobacco Control and Lung Cancer Screening; and Dissemination of CPRIT-Funded Cancer Control Interventions*. 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/PD	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
PP200028	Karen Basen-Engquist	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen
PP200036	Michael Pignone	The University of Texas at Austin	Marcus Plescia
Applications not considered by the PIC or Oversight Committee			
PP200016	Walter Calmbach	The University of Texas Health Science Center at San Antonio	Ross Brownson

T.A.C. Section702.19 Waiver

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO:	OVERSIGHT COMMITTEE MEMBERS
FROM:	WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT:	T.A.C. § 702.19 WAIVER
DATE:	JUNE 11, 2019

Summary

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Ramona Magid, CPRIT's Chief Prevention Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to the first prevention review cycle of FY 2020. No Oversight Committee action related to this waiver is necessary.

Background and Discussion

I promoted Ms. Magid to the Chief Prevention Officer position on June 1 following Dr. Becky Garcia's retirement. The Chief Prevention Officer is a statutorily mandated member of the Program Integration Committee (PIC). Texas Administrative Code § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

Traditionally, a chief program officer leads each CPRIT program with the assistance of a program manager. The program manager fields inquiries from and provides technical help to applicants completing their CPRIT grant applications. However, the prevention program manager position is vacant currently with Ms. Magid's promotion. Until CPRIT fills the program manager position, Ms. Magid is the sole point of contact for the prevention program. The communication waiver is necessary so that she can help grant applicants who have questions during the application process.

Approving this waiver does not favor any grant applicant over another. Ms. Magid will provide technical assistance only and will not comment on the substance of a grant application.

This waiver will be part of the grant record for the cycle 20.1 prevention grant applications.

De-Identified Overall Evaluation Scores

Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

Prevention Cycle 20.1

Application ID	Final Overall Evaluation Score
PP200006*	1.9
PP200028*	2.3
PP200005*	2.7
PP200017*	2.8
PP200009*	3.2
Ca	3.3
Cb	3.8
Cc	3.9
Cd	4.3
Ce	4.8
Cf	5.3
cg	5.7

* Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com
Via email to Dee Margo assistant, Olivia Zepeda, zepedaox@elpasotexas.gov

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

Dear Mr. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.1 Evidence-Based Cancer Prevention Services (EBP), Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS), and Tobacco Control and Lung Cancer Screening awards.

The PRC met on January 17, 2020 to consider the applications recommended by the peer review panel following their December 10-11 meeting and to review the applications submitted to CPRIT under the Dissemination of CPRIT-Funded Cancer Control Interventions mechanism.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for fiscal year 2020 is $28,035,081. These recommended projects total $13,507,769.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,
Stephen W. Wyatt, DMD, MPH
Chair, CPRIT Prevention Review Council

Attachment

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Cycle 20.1 Recommended Prevention Program Awards

App. ID	Mech	Application Title	PD	Organization	Score	Rank Order	Budget
PP200006	EPS	De Casa en Casa 3: Cervical Cancer Screening in Underserved Rural and Border Communities in West and South Texas	Shokar, Navkiran	Texas Tech University Health Sciences Center at El Paso	1.9	1	$1,985,089
PP200055	DI	Advancing the Access to Cancer Training, Information, Outreach, and Navigation (ACTION) Project for CHW Dissemination of Resources to At-Risk Texas Regions	Bolin, Jane	Texas A&M University System Health Science Center	2.0	2	$ 300,000
PP200028	EPS	Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation	Basen-Engquist, Karen	The University of Texas M. D. Anderson Cancer Center	2.3	3	$ 1,999,200
PP200005	EPS	Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas	Berenson, Abbey	The University of Texas Medical Branch at Galveston	2.7	4	$ 1,993,096
PP200017	EPS	Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools	Cuccaro, Paula	The University of Texas Health Science Center at Houston	2.8	5	$ 1,960,631
PP200051	DI	Taking Texas Tobacco Free Through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings	Reitzel, Lorraine	University of Houston	3.0	6	$ 299,953
PP200034	EBP	Advancing Breast Health among Uninsured Women	Jacobs, Elizabeth	The University of Texas at Austin	3.1	7	$ 995,999
PP200040	TCL	BEXAR COUNTY'S NAVIGATION TO CESSATION (N2C)	Scott, Anthony	University Health System	3.2	8	$ 973,809
PP200009	EPS	The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation	Argenbright, Keith	The University of Texas Southwestern Medical Center	3.2	9	$ 2,000,000

PP200036	EBP	Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention	Pignone, Michael	The University of Texas at Austin	3.4	10	$ 999,992

EBP: Evidence-Based Cancer Prevention Services
EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
TCL: Tobacco Control and Lung Cancer Screening
DI: Dissemination of CPRIT-Funded Cancer Control Interventions

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Tobacco Control and Lung Cancer Screening

Request for Applications

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA P-20.1-TCL

Tobacco Control and Lung Cancer Screening

Please also refer to the Instructions for Applicants document, which will be posted on June 6, 2019

Application Receipt Opening Date: June 6, 2019

Application Receipt Closing Date: September 4, 2019

FY 2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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RFA VERSION HISTORY

Rev 5/9/2019 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 enhance 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. Prevention Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Prevention Program's principles and priorities will also guide CPRIT staff and the Prevention Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

Established Principles:

- Fund evidence-based interventions and their dissemination
- Support the prevention continuum of primary, secondary, and tertiary (includes survivorship) prevention interventions

Prevention Program Priorities

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

2. FUNDING OPPORTUNITY DESCRIPTION

2.1. Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer.

The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies.

People who use tobacco products or who are regularly around environmental tobacco smoke have an increased risk of cancer because tobacco products and secondhand smoke contain many chemicals that damage DNA. Tobacco use causes many types of cancer, and there is no safe level of tobacco use. People who quit smoking, regardless of their age, have substantial gains in life expectancy compared with those who continue to smoke. Also, quitting smoking at the time of a cancer diagnosis reduces the risk of death.[1]

Tobacco use accounts for at least 30% of all cancer deaths, causing 83% of lung cancer deaths in men and 76% of lung cancer deaths in women.[2] Lung cancer is the leading cause of cancer-related mortality in Texas; in 2016 there were an estimated 9,438 deaths.[3]

The **Tobacco Control and Lung Cancer Screening (TCL)** award mechanism seeks to fund programs on tobacco prevention and cessation, as well as screening for early detection of lung cancer. Through release of this RFA, CPRIT's goal is to stimulate more programs across the state, thereby providing greater access for underserved populations and reducing the incidence and mortality rates of tobacco-related cancers.

This RFA seeks to promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth. In addition to evidence-based interventions for tobacco prevention and cessation, screening to detect cancer early, before it has spread, can reduce lung cancer mortality. For the early detection of lung cancer, the US Preventive Services Task Force (USPSTF) recommends annual lung cancer screening with low-dose computerized tomography (LDCT) for persons between the ages of 55 and 80 years old who have a history of heavy smoking (30 pack years or more) and who currently smoke or have quit within the past 15 years. The Centers for Medicare and Medicaid Services (CMS) has approved coverage and reimbursement for lung cancer screening for

individuals 55 to 77 years of age that meet their criteria. CMS also has eligibility criteria for radiologists and facilities delivering the screening services (https://www.cms.gov/medicare-coverage-database/details/nca-decision-memo.aspx?NCAId=274).

CPRIT will support programs screening individuals aged 55 to 77 that follow the CMS criteria for screening, radiologists, and facilities. CMS also requires delivery of smoking cessation counseling if LCDT screening is offered; however, for funding through this mechanism, CPRIT requires that robust evidence-based cessation interventions that go beyond offering only a referral or provision of information about smoking cessation interventions be delivered (see section 2.3 for details).

Programs proposed under this mechanism should be designed to reach and serve as many people as possible. Partnerships with other organizations that can support and leverage resources are strongly encouraged. A coordinated submission of a collaborative partnership program in which all partners have a substantial role in the proposed project is preferred.

Applicants with currently or previously funded CPRIT Tobacco Control and Lung Cancer Screening projects are required to expand current services into additional counties or to include additional types of prevention clinical services. In either case, the expansion must include the delivery of services to nonmetropolitan (rural) and/or medically underserved counties in the state. These may be identified via Web-based tools from the Texas Department of State Health Services and US Department of Health and Human Services respectively.

Health Facts Profiles
Non-Metropolitan Counties, 2013

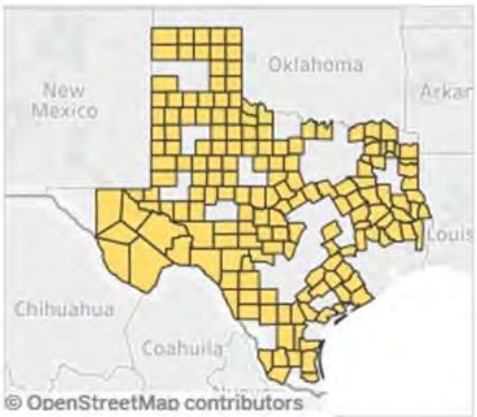
Demography / Population

Estimated Total Population
3,054,751

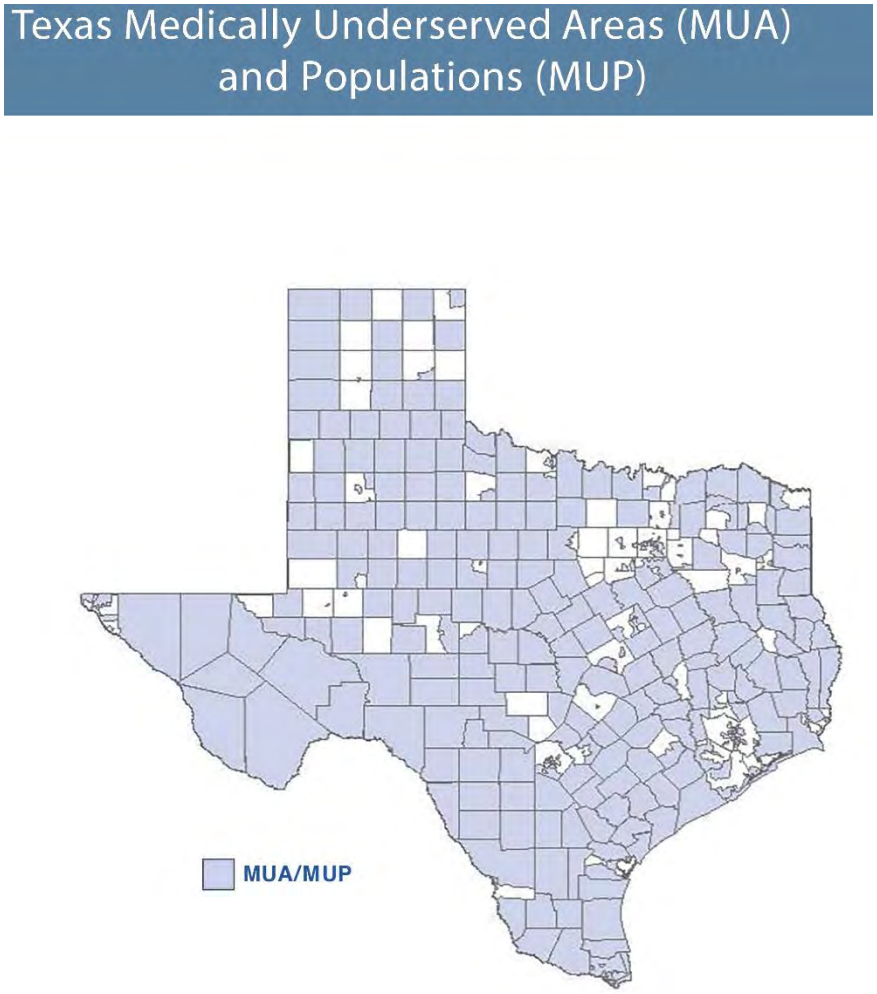
Number of Counties
172

Area in Square Miles
184,738.9

Population per Square Mile
16.5



Data source: Center for Health Statistics, Texas Department of State Health Services



Data source: US Health Resources and Services Administration Data Warehouse, October 2017

Currently funded projects must be in their final year, and programs must have at least 1 full year of data to report before applying for an expansion.

2.2. Project Objectives

CPRIT seeks to fund **new** projects that will address objectives listed under Option A **or** Option B. **Expansion** projects may address objectives under both Options A **and** B.

A. Tobacco Prevention and Cessation for any age group

- Promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth including

combustible cigarettes, oral tobacco products, and/or electronic devices that deliver nicotine.

- Increase the adoption and sustained implementation of evidence-based strategies by state and local public health agencies designed to reduce tobacco use.
- Increase the adoption and implementation of evidence-based strategies designed to mobilize communities, improve systems and programs to influence societal norms, and encourage and support individuals in adoption of tobacco prevention and cessation behaviors.
- Increase the adoption and sustained implementation of evidence-based strategies by clinicians designed to reduce tobacco use.
- Stimulate the creation, adoption, and implementation of evidence-based strategies and policies designed to significantly improve the effectiveness of health care or other systems in reducing tobacco use among the patients and employees of those systems.
- Implement policy changes and/or system improvements that are sustainable over time.
- Focus on underinsured and uninsured population groups by implementation of strategies and activities that may significantly reduce tobacco use and cancer-related disparities.

B. Lung Cancer Screening, Early Detection, and Cessation for individuals 55 to 77 years of age

- Develop, implement, and evaluate strategies to significantly increase use of LDCT screening for earlier detection of lung cancer following the USPSTF criteria and definition of high-risk populations (history of 30 pack years of smoking, individuals between 55 and 77 years of age who currently smoke or who have quit smoking within the past 15 years), as well as meet CMS eligibility criteria for radiologists and facilities.
- Deliver evidence-based programming designed to significantly increase tobacco cessation among adults 55 to 77 years old that are being screened or considered for screening.
- Deliver education for health care providers that includes, but is not limited to, earlier detection of lung cancer, diagnosis and treatment of lung cancer, shared decision-

making about eligibility, risks and benefits of lung LDCT screening, tobacco cessation programming, and comprehensive behavioral health change initiatives.

- Increase shared decision-making between the health care provider and patients about eligibility, risks, and benefits of lung LDCT screening.
- Stimulate the creation, adoption, and implementation of evidence-based strategies and policies designed to significantly improve the effectiveness of health systems in reducing tobacco use among the patients being screened or considered for screening.
- Implement policy changes and/or system improvements that are sustainable over time.
- Focus on underinsured and uninsured population groups by implementation of strategies and activities that may significantly reduce tobacco use and cancer-related disparities.

2.3. Award Description

The Tobacco Control and Lung Cancer Screening RFA solicits applications for eligible projects that may be up to 36 months in duration that will deliver evidence-based interventions focused on tobacco prevention (prevent tobacco use or sustained abstinence) and tobacco cessation among youth and/or adults. This RFA will also support LDCT screening for populations eligible for this intervention as defined by CMS if paired with evidence-based cessation interventions for the population to be screened.

As detailed below, **new** projects may propose comprehensive tobacco cessation programs for youth and/or adults, **(Option A)**, **or** projects may propose programs that include comprehensive tobacco cessation programs plus LDCT lung cancer screening for eligible participants aged 55 to 77, **(Option B)**, **but not both**.

Expansion projects: Expansion to nonmetropolitan/medically underserved area (MUA) counties and/or offering additional clinical services is required for currently or previously funded tobacco control and lung cancer screening projects. To qualify, CPRIT requires these applicants to either expand to additional nonmetropolitan and/or MUA counties or to add the delivery of 1 or more of the following clinical services to their project.

- LDCT lung cancer screening - Expansion of project to include Option B for lung cancer screening if current or previously funded project included only Option A.

- Tobacco Prevention and Cessation – Expansion of project to include Option A for tobacco prevention and cessation program for any age group, in addition to the required cessation services in Option B, if current or previously funded project included only Option B.
- Screenings for breast, cervical, colorectal cancers, hepatitis C virus, and genetic risk factors.
- Vaccinations against HPV and hepatitis B virus.

CPRIT's priorities include a focus on underserved populations and the targeting of areas and populations where significant disparities exist. Projects should propose to develop, adopt, and implement strategies and activities that have the potential to significantly reduce tobacco use and cancer-related disparities and serve underinsured and uninsured population groups. If addressing worksites, projects should focus on worksites that are likely to have limited or no health insurance; eg, part-time or hourly workers. (See priority populations, section 2.4).

Proposals are encouraged to incorporate evidence-based interventions such as those found in Community Guide to Reducing Tobacco Use and Secondhand Smoke Exposure; CDC Policies and Practices for Cancer Prevention: Lung Cancer Screening Programs; CDC Best Practices for Comprehensive Tobacco Control Programs; and American College of Chest Physicians/American Thoracic Society Policy statement on Components Necessary for High- Quality Lung Cancer Screening. In addition, USPSTF guidelines and CMS criteria must be met if providing LDCT screening.

The following are required components of the project:

Option A. Tobacco Prevention and Cessation Services

Projects under this option for tobacco prevention and cessation services without LDCT screening must provide the following:

- Evidence-based tobacco prevention and tobacco cessation education and services for adults and/or youth that include behavioral as well as pharmacotherapy interventions (if such interventions are indicated for youth). Effective cessation interventions include individual, group, and telephone counseling as well as FDA-approved cessation medications. Programs may include prevention and cessation of any product that delivers nicotine, including combustible cigarettes, oral tobacco products, and/or electronic devices.

In addition, projects should include SOME combination of the following:

- Evidence-based strategies delivered by public health officials (eg, state or local public health agencies) designed to reduce tobacco use and increase the adoption and sustained implementation of tobacco control programs.
- Evidence-based strategies designed to mobilize communities, improve systems and programs to influence societal norms, and encourage and support individuals in adoption of prevention and cessation behaviors (eg, NCI RTIPS interventions).
- Evidence-based strategies designed to improve the knowledge, skills, and effectiveness of health care providers in providing direct tobacco cessation interventions (eg, 5 A's approach); and
- Evidence-based strategies designed to improve the efficacy/effectiveness of health systems in tobacco cessation, including changes in how health systems approach tobacco cessation (eg, integration into EMRs, clinical workflows, well visit protocols).

Option B. Lung Cancer screening and early detection services plus cessation services

Projects under this option that includes lung cancer LDCT screening and relevant diagnostic interventions in addition to robust evidence-based tobacco cessation interventions must include **ALL** of the following:

- LDCT lung cancer screening must be provided according to CMS and USPSTF guidelines.
- LDCT lung cancer screening facilities and radiologists must meet CMS requirements.
- Education for health care providers that includes, but is not limited to, earlier detection of lung cancer, diagnosis and treatment of lung cancer, tobacco cessation programming, and more comprehensive behavioral health change initiatives.
- Strategic educational initiatives for both the health care provider and patients focused on patient-centered health care that involves shared decision-making about eligibility, risks and benefits, and implementation of lung LDCT.
- The development, adoption, and implementation of robust evidence-based tobacco cessation interventions for individuals 55 to 77 years of age before screening as well as after LDCT screening. In cases where screening results are normal, cessation interventions begun before the results of screening are received may increase the motivation to continue with cessation treatments.

- Cessation interventions must be comprehensive and robust and integrated with the screening program. Cessation interventions must involve more than handing out educational materials or referral to either the Quitline or other cessation resources and include behavioral as well as pharmacotherapy interventions. Cessation services offered outside the clinic setting require a formal agreement/memorandum of understanding for patient follow-up and confirmation of behavioral changes for the patients referred. Patient cessation outcomes are to be reported to CPRIT.
- The development, adoption, and implementation of enhancements and improvements in health and health care systems and/or policy that can increase the effectiveness of tobacco and cancer control (ie, integration into EMRs, clinical workflow, and well visit protocols).
- The development, adoption, and implementation of procedures and protocols for frequent follow-up of patients to assess not only participation but also successful outcomes regarding accessing cessation services, sustained abstinence, and outcomes known to be related to sustained cessation.
- The development, adoption, and implementation of system policies and protocols that include but are not limited to who should be offered screening within the USPSTF guidelines, frequency of screening, who should be followed, and who should proceed to surgical resection.
- Recognizing that there are false positives and false negatives in LDCT screening, the development, adoption, and implementation of evidence-based protocols for abnormal LDCT results.
- Patient navigation into treatment when cancer is diagnosed. Applicants must describe the resources available for treatment of uninsured/underinsured patients.

CPRIT's services grants are intended to fund prevention interventions that have a demonstrated evidence base and are culturally appropriate for the priority population.

CPRIT recognizes that evidence-based services have been developed but not implemented or tested in all populations or service settings. In such cases, other forms of evidence (eg, preliminary evaluation or pilot project data) that the proposed service is appropriate for the population and has a high likelihood of success must be provided. The applicant must fully

describe the base of evidence and any plans to adapt and evaluate the implementation of the program for the specific audience or situation.

CPRIT encourages traditional and nontraditional collaborative partnerships as well as leveraging of existing resources and dollars from other sources. A collaborative partnership is one in which all partners have a substantial role in the proposed project. Letters of commitment describing their role in the partnership are required from all partners.

CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness. Applicants must demonstrate how these outcomes will ultimately impact incidence, mortality, morbidity, or quality of life.

Under this RFA, CPRIT **will not** consider the following:

- **Projects focusing solely on case management/patient navigation services.** Case management/patient navigation services must be paired with tobacco prevention or cessation services. Furthermore, while navigation to the point of treatment of cancer is required when cancer is discovered through a CPRIT-funded project, applications seeking funds to provide coordination of care while an individual is in treatment are not allowed under this RFA.
- **Projects focusing on tobacco prevention and cessation education without the delivery of cessation or other clinical services.**
- **Projects requesting CPRIT funding for Quitline services.** Applicants proposing the utilization of Quitline services should communicate with the Tobacco Prevention and Control program prior to submitting a CPRIT grant application to discuss the services currently offered by the Texas Department of State Health Services (DSHS).
- **Projects involving prevention/intervention research.** Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at http://www.cprit.texas.gov).[4]

2.4. Priorities

Types of Cancer: Only projects proposing tobacco control interventions and lung cancer screening will be considered for funding. See section 2.5 for specific areas of emphasis.

The Prevention Program's priorities for funding include the following:

1) **Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence:**

CPRIT programs must address underserved populations. Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals;
- Medically unserved or underserved populations;
- Racial, ethnic, and cultural minority populations;
- Populations with low screening rates, high incidence rates, and high mortality rates, focusing on individuals never before screened or who are significantly out of compliance with nationally recommended screening guidelines.

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, CMS, and American Cancer Society).

2) **Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence:**

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. In addition, projects addressing areas of emphasis (see section 2.5) will receive priority consideration.

Geographic and Population Balance in Current CPRIT portfolio

At the programmatic level of review conducted by the Prevention Review Council (see section 5.1), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see https://www.cprit.state.tx.us/our-programs/prevention/portfolio-maps and https://www.cprit.state.tx.us/grants-funded?search=prevention).

2.5. Specific Areas of Emphasis

CPRIT has identified the following areas of emphasis for this cycle of awards.

Primary Prevention
Tobacco Prevention and Control
• Vulnerable and high-risk populations, including people with mental illness, history of substance abuse, youth, and pregnant women, that have higher tobacco usage rates than the general population.
• Areas that have higher smoking rates per capita than other areas of the state. Public Health Regions (PHR) 4, 5, and 9 have significantly higher tobacco use among adults than in other regions of the state.
Secondary Prevention - Screening and Early Detection Services
Lung Cancer
• Decreasing disparities in incidence and mortality rates of lung cancer in racial/ethnic populations. Blacks have higher mortality rates than Hispanics and non-Hispanic whites.
• Increasing screening/detection rates in PHR 2, 4, and 5, where the highest rates of cancer incidence and mortality are found.

2.6. Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified in the project plan and will serve as a measure of program effectiveness. Planned policy or system changes should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required**. In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline. Applicants are required to fully describe any planned systems, policy changes, or improvements.

Reporting Requirements

Funded projects are required to report quantitative output and outcome metrics (as appropriate for each project) through the submission of quarterly progress reports, annual reports, and a final report.

If clinical services are being paid for and provided by others, the applicant is required to report on the number of clinical services and patient outcomes (eg, cancers detected) that are delivered to the people navigated by the program.

- Quarterly progress report sections include, but are not limited to, the following:
  - Summary page, including narrative on project progress (required);
  - Services, other than clinical services, provided to the public/professionals;
  - Actions taken by people/professionals as a result of education or training;
  - Clinical services provided (county of residence of client is required); and
  - Precursors and cancers detected.
- Annual and final progress report sections include, but are not limited to, the following:
  - Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change** and;
  - Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate education and navigation services to eligible individuals in a defined service area;
  - Materials produced and publications;
  - Economic impact of the project.

2.7. Eligibility

- The applicant must be a Texas-based entity, such as a community-based organization, health institution, government organization, public or private company, college or university, or academic health institution.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted.
- The designated Program Director (PD) will be responsible for the overall performance of the funded project. The PD must have relevant education and management experience and must reside in Texas during the project performance time.
- The evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.

- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant may submit more than 1 application, but each application must be for distinctly different services without overlap in the services provided. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.
- If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.
- If the applicant or a partner is an existing Department of State Health Services (DSHS) contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non–Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's 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 created to benefit CPRIT.
- The applicant must report whether the applicant organization, the PD, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, (whether slated to receive salary or compensation under the grant award or not), are

currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

- CPRIT grants will be awarded by contract to successful applicants. CPRIT grants are funded on a reimbursement-only basis. 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 6. All statutory provisions and relevant administrative rules can be found on the CPRIT website.

2.8. Resubmission Policy

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

2.9. Expansion Policy

- A grant recipient that has previously been awarded grant funding from CPRIT may submit an application under this mechanism to be considered for an expansion grant if expansion of current services into additional counties and/or additional types of prevention clinical services have been included. The eligibility criteria described in section 2.7 also apply to expansion applications. Before submitting an application for this award, applicants should consult with the Prevention Program Office (see section 7.2) to determine whether it is appropriate for their organization to seek expansion funding at this time.
- Expansion grants are intended to fund expansion of currently or previously funded projects that have demonstrated exemplary success, as evidenced by progress reports and project evaluations, and desire to further enhance their impact on priority populations. Detailed descriptions of **results, barriers, outcomes, and impact of the currently or previously funded project are required** (see outline of Most Recently Funded Project Summary, section 4.4.12).
- Proposed expansion projects should NOT be new projects but should closely follow the intent and core elements of the currently or previously funded project. Established infrastructure/processes and fully described prior project results are required. Expansion of current projects into geographic areas not well served by the CPRIT Prevention portfolio (see maps at http:// www.cprit.state.tx.us/our-programs/prevention/portfolio-maps) will receive priority consideration.
- CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area). It is expected that baselines will have already been established and that continued improvement over baseline is demonstrated in the current application. However, in the case of a proposed expansion where no baseline data exist for the priority population, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline. Applicants must demonstrate how these outcomes will ultimately impact cancer incidence, mortality, morbidity, or quality of life.
- CPRIT also expects that applications for continuation **will not** require startup time, that applicants can demonstrate that they have overcome barriers encountered, and that

applicants have identified **lasting systems changes** that improve results, efficiency, and sustainability. Leveraging of resources and plans for dissemination are expected and should be well described.

2.10. Funding Information

Applicants may request any amount of funding up to a maximum of $1 million in total funding for new projects or up to a maximum of $2 million in total funding for expansion projects over a maximum of 36 months. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, and travel of project personnel to project site(s). Requests for funds to support construction, renovation, or any other infrastructure needs or requests to support lobbying will not be approved under this mechanism. Grantees may request funds for travel for 2 project staff to attend CPRIT's conference. Applicants offering screening services must ensure that there is access to treatment services for patients with cancers that are detected as a result of the program and must describe access to treatment services in their application.

While this mechanism will fund diagnostic workup of abnormal LDCT results, applicants are encouraged to find additional sources to support the costlier diagnostic tests that may be needed. Proposed programs should be designed to reach and serve as many people as possible, and costly diagnostic tests could limit the reach of the program. Review of the proposals includes budget considerations such as the average cost per service and whether the budget is appropriate and reasonable and a good investment of Texas public funds.

The budget should be proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. In addition, CPRIT seeks to fill gaps in funding rather than replace existing funding, supplant funds that would normally be expended by the applicant's organization, or make up for funding reductions from other sources.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the **total** award amount.

2.11. Opportunity for Applied Research

Since lung cancer screening has only recently become an approved screening tool and may occur in a variety of settings, there remain many questions and opportunities for continued study to optimize the pairing of smoking cessation services with lung cancer screening and to improve the outcomes of lung cancer screening. CPRIT encourages successful applicants to consider how they might leverage a Prevention grant award and the population being screened to address these or other research questions and apply to CPRIT's Academic Research Program.

Examples of potential research questions follow:

- What are the most effective components of outreach and education strategies designed to influence underserved populations to make good decisions about their health and participate in shared decision-making and lung cancer screening?
- What are the most formidable barriers influencing the initiation of tobacco cessation counseling and lung cancer screening among underserved population groups?
- What are the most effective components of evidence-based cessation interventions delivered in conjunction with LDCT screening?
- What are effective shared decision-making interventions for LDCT?
- What is the cost-effectiveness of LDCT alone and/or in conjunction with various evidence-based interventions for tobacco cessation?
- What are the most effective evidence-based protocols for diagnostic work up of lung nodules in community settings?
- Can risk models be developed to define subgroups that might disproportionately benefit or be harmed with LDCT screening?
- What is the role of biomarkers in LDCT screening?

3. KEY DATES

RFA release	May 9, 2019
Online application opens	June 6, 2019, 7 AM central time
Application due	September 4, 2019, 4 PM central time
Application review	October 2019-January 2020
Award notification	February 2020

Anticipated start date March 1, 2020

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

4. APPLICATION SUBMISSION GUIDELINES

4.1. *Instructions for Applicants* document

It is imperative that applicants read the accompanying instructions document for this RFA that will be available June 6, 2019 (https://CPRITGrants.org). Requirements may have changed from previous versions.

4.2. Online Application Receipt System

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 PD must create a user account in the system to start and submit an application. The Co-PD, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (an individual who will help manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on June 6, 2019, and must be submitted by 4 PM central time on September 4, 2019. Detailed instructions for submitting an application are in the *Instructions for Applicants* document, posted in CARS. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

4.3. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

4.4. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Refer to the *Instructions for Applicants* document for details.

Submissions that are missing 1 or more components or do not meet the eligibility requirements may be administratively withdrawn without review.

4.4.1. Abstract and Significance (5,000 characters)

Clearly explain the problem(s) to be addressed, the approach(es) to the solution, and how the application is responsive to this RFA. In the event that the project is funded, the abstract will be made public; therefore, no proprietary information should be included in this statement. Initial compliance decisions are based in part upon review of this statement.

The abstract format is as follows (use headings as outlined below):

- **Need:** Include a description of need in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.
- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached, unique people (public and/or professionals) served and the number of services.
- **Significance and Impact:** Explain how the proposed project, if successful, will have a major impact on cancer prevention and control for the population proposed to be served and for the State of Texas.

4.4.2. Goals and Objectives (700 characters each)

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within both the stated objective and the measure. Refer to the *Instructions for*

Applicants document for details. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See Appendix B for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not been defined, applicants are required to explain plans to establish baseline and describe method(s) of measurement.

4.4.3. Project Timeline (2 pages)

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1, 2, 3, and Months 1, 2, 3, etc, as applicable (eg, Year 1, Months 3-5) instead of specific months or years. Month 1 is the first full month of the grant award.

4.4.4. Project Plan (12 pages, fewer pages permissible)

The required project plan format follows. Applicants must use the headings outlined below.

Background: Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. Describe the race, ethnicity, age, and other defining characteristics of the population to be served.

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data for the target population and target service area are required where applicable.

Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

Goals and Objectives: Process objectives should be included in the project plan. Outcome goals and objectives will be entered in separate fields in CARS. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here. See Appendix B for instructions on writing goals and objectives.

Components of the Project: Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative. If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see Appendix A for definitions and *Instructions for Applicants*). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. If clinical services are being paid for and provided by others, the applicant must explain and report on the number of clinical services and patient outcomes that are delivered to the people navigated by the program. Applicants must also clearly describe plans to **ensure access to treatment services** should cancer be detected.

Evaluation Strategy: A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. If needed, applicants may want to consider seeking expertise at Texas-based academic cancer centers, schools/programs of public health, or the like. Applicants should budget accordingly for the evaluation activity and should involve that professional during grant application preparation to ensure, among other things, that the evaluation plan is linked to the proposed goals and objectives.

Organizational Qualifications and Capabilities: Describe the organization and its track record and success in providing programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. To ensure access to preventive services and reporting of services outcomes,

applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

Program Sustainability: CPRIT funds projects that target needs not sufficiently covered by other funding sources. As CPRIT approaches the end of its funding authority in 2022, program sustainability is of paramount importance. CPRIT acknowledges that full maintenance and sustainability of CPRIT funded projects may not be feasible, especially in cases involving the delivery of clinical services. Educational and other less costly interventions may be more readily sustained. Full maintenance of a project, the ability of the grantee's setting or community to continue to deliver the health benefits of the intervention as funded, is not required; however, efforts toward sustainability are expected and must be described. Program sustainability capacity is defined as the ability to maintain a program and its benefits over time.

Washington University in St. Louis has developed a useful tool (Program Sustainability Assessment Tool) to assess program capacity for sustainability. They describe several factors that contribute to program sustainability. These factors include environmental support, funding stability, partnerships, organizational capacity, program evaluation, program adaptation, communication, and strategic planning. Applicants are not required to use this tool; however, it provides practical guidance on factors that should be considered and should be included in the application to describe a program's capacity for sustainability.

It is expected that steps toward building sustainability capacity for the program will be taken and plans for such be fully described in the application. For new programs, the applicant should describe the factors that will contribute to the program's sustainability and plans for sustainability beyond the project end date. For expansion projects, the applicant should assess and describe their current activities and capacity for sustainability and plans for sustainability beyond the project's end date.

Important factors to include in describing plans for sustainability include integration of the evidence-based intervention within the culture of the grantee's setting or community through policies and practices; plans for systems change that are sustainable over time (eg, improve provider practice, efficiency, cost-effectiveness); and activities (eg, training, identification of alternative resources, building internal assets) that build durable resources and enable the grantee's

setting or community to continue the delivery of some or all components of the evidence-based intervention.

Dissemination and Replication:

Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination efforts should consider the message, source, audience, and channel (Brownson, R.C., et al. *J Pub Health Manag Pract*. 24(2):102-111, March/April 2018). Dissemination methods may include, but are not limited to, presentations at workshops and seminars, one-on-one meetings, publications, news media, social media, etc.

While passive dissemination methods are common (eg, publications, presentations at professional meetings), plans should include some active dissemination methods (eg, meetings with stakeholders, blogs, social media). Applicants should describe their dissemination plans. The plans should include the kinds of audiences to be targeted and methods for reaching the targeted audiences.

Replication by others is an additional way to disseminate the project. For applicable components, describe how the project or components of the project lend themselves to application by other communities and/or organizations in the state or expansion in the same communities. Describe what components of this project can be adapted to a larger or lower resource setting. Note that some programs may have unique resources and may not lend themselves to replication by others.

4.4.5. People Reached (Indirect Contact)

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to Appendix A for definitions.

4.4.6. Number of Services Delivered (Direct Contact)

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each individual service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the

education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to Appendix A for definitions.

4.4.7. Number of Clinical Services Delivered

Provide the estimated overall number of clinical services directly delivered to members of the public by the funded project. Each individual clinical service should be counted, regardless of the number of services one person receives. Separately itemize the clinical services, with estimates, that led to the calculation of the overall estimate provided. Refer to Appendix A for definitions.

4.4.8. Number of Unique People Served (Direct Contact)

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to Appendix A for definitions.

4.4.9. References

Provide a concise and relevant list of references cited for the application. The successful applicant will provide referenced evidence and literature support for the proposed services.

4.4.10. Resubmission Summary

Use the template provided on the CARS (https://CPRITGrants.org). Describe the approach to the resubmission and how reviewers' comments were addressed. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed.

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

4.4.11. Expansion Application Documents

If the project proposed is being submitted as an expansion project, the additional document described in section 4.4.12 is required.

4.4.12. Most Recently Funded Project Summary, if Applicable (3 pages)

Upload a summary that outlines the progress made with the most recently funded CPRIT award. Applicants must describe results and outcomes of the most recently funded award and demonstrate why further funding is warranted.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed continuation/expansion project.

In the description, include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following:
  - Milestones/target dates and target metrics
  - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key outcomes. If the project has not yet ended, provide projections for completion dates and final metrics. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.
- Describe steps taken toward sustainability for components of the projects. Fully describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

4.4.13 CPRIT Grants Summary

Use the template provided on CARS (https://CPRITGrants.org). Provide a listing of **all** projects funded by the CPRIT Prevention program for the PD or Co-PD, regardless of their connection to this application.

4.4.14 Budget and Justification

Provide a brief outline and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, travel, equipment, supplies, contractual expenses, services delivery, and other expenses. CPRIT funds will be distributed on a reimbursement basis. Applications requesting more than the maximum allowed cost (total costs) as specified in section 2.10 will be administratively withdrawn.

- **Average Cost per Person:** The average cost per person will be automatically calculated from the total cost of the project divided by the total number of unique people served (refer to Appendix A).
- **Average Cost per Service:** The average cost per service will be automatically calculated from the total cost of the project divided by the total number of services delivered (refer to Appendix A). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **Average Cost per Clinical Service:** The average cost per clinical service will be automatically calculated from the total cost of the project divided by the total number of clinical services delivered (refer to Appendix A).
- **Personnel:** The individual salary cap for CPRIT awards is $200,000 per year. Describe the source of funding for all project personnel where CPRIT funds are not requested.
- **Travel:** PDs and related project staff are expected to attend CPRIT's conference. CPRIT funds may be used to send up to 2 people to the conference.
- **Equipment:** Equipment having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application. Justification must be provided for why funding for this equipment cannot be found elsewhere; CPRIT funding should not supplant existing funds. Cost sharing of equipment purchases is strongly encouraged.

- **Services Costs:**
  - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested. If clinical services are being paid for and provided by others, the applicant is required to explain and report on the number of clinical services and patient outcomes that are delivered to the people navigated by the program.
  - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF.
- **Other Expenses:**
  - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is $25.
  - **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).
- **Indirect/Shared Costs:** Texas law limits the amount of grant funds that may be spent on indirect/shared expenses to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules.

4.4.15 Current and Pending Support and Sources of Funding

Use the template provided on the CARS (https://CPRITGrants.org). Describe the funding source and duration of **all** current and pending support for the proposed project, including a capitalization table that reflects private investors, if any.

4.4.16 Biographical Sketches

The designated PD will be responsible for the overall performance of the funded project and must have relevant education and management experience. The PD/Co-PD(s) must provide a biographical sketch that describes his or her education and training, professional experience,

awards and honors, and publications and/or involvement in programs relevant to cancer prevention and/or service delivery.

- Use the Co-PD biographical sketch section ONLY if a Co-PD has been identified.
- The evaluation professional must provide a biographical sketch in the Evaluation Professional Biographical sketch section.
- Up to 3 additional biographical sketches for key personnel may be provided in the Key Personnel Biographical sketch section.

Each biographical sketch must not exceed 2 pages and should use the "Prevention Programs: Biographical Sketch" template provided on the CARS (https://CPRITGrants.org). Only biographical sketches will be accepted; do not submit resumes and/or CVs. If a position is not yet filled, please upload a job description.

4.4.17 Collaborating Organizations

List all key participating organizations that will partner with the applicant organization to provide 1 or more components essential to the success of the program (eg, evaluation, clinical services, recruitment to screening).

4.4.18 Letters of Commitment (10 pages)

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

5. APPLICATION REVIEW

5.1 Review Process Overview

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities. Programmatic considerations may include, but are not limited to, geographic distribution, cancer

type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, chapter 703, sections 703.6 to 703.8.

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, chapter 703, section 703.9.**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, a Review Panel member, or a 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 State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

5.2 Review Criteria

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

5.3 Primary Evaluation Criteria

Impact

- Do the proposed services address an important problem or need in cancer prevention and control? Do the proposed project strategies support desired outcomes in cancer incidence, morbidity, and/or mortality? Do the proposed project strategies reach a priority population (eg, low income, minority, rural) at high risk of cancer?
- For expansion projects, does the proposed project build on its initial results (baseline)? Does it go beyond the initial project to address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Will the project reach and serve/impact an appropriate number of people based on the budget allocated to providing services and the cost of providing services?
- If applicable, have partners demonstrated that the collaborative effort will provide a greater impact on cancer prevention and control than the applicant organization's effort separately?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?

Project Strategy and Feasibility

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?
- Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

Outcomes Evaluation

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- If clinical services are being paid for and provided by others, does the applicant explain the methods used to collect data and report on these clinical services and outcomes?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?
- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

Organizational Qualifications and Capabilities

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services? Does the described role of each collaborating organization make it clear that each organization adds value to the project and is committed to working together to implement the project?
- Have the appropriate personnel been recruited to implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?

Program Sustainability

- For new projects, does the applicant describe **some** factors that will help ensure their program's sustainability (eg, strong environmental support, partnerships, organizational capacity, etc) and their plans to build capacity for sustainability?
- For expansion projects, does the applicant describe their current activities and capacity for sustainability and plans for sustainability beyond the project's end date?
- Does the applicant describe steps that will be taken and components of the project that will be integrated into the organization through policies and practices?
- Does the applicant describe a plan for systems changes that are sustainable over time; eg, improve results, provider practice, efficiency, cost-effectiveness?
- Does the applicant describe steps that the applicant organization or other entities will take or components of the project that will remain (eg, trained personnel, identification of alternative resources, building internal assets) to continue the delivery of <u>some or all</u> components of the evidence-based intervention once CPRIT funding ends?

5.4 Secondary Evaluation Criteria

Budget

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

Dissemination and Replication

- Are plans for dissemination of the project's results and outcomes, including target audiences and methods, clearly described?
- Are active dissemination strategies included and described in the plan?
- Does the applicant describe whether and/or how the project lends itself to replication of all or some components of the project by others in the state?

6. AWARD ADMINISTRATION

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules. 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 the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. 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.

7. CONTACT INFORMATION

7.1 Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding the scope and focus of applications. Before contacting the helpdesk, please refer to the *Instructions for Applicants* document (posted on June 6, 2019), which provides a step-by-step guide to using CARS.

Hours of operation:	Monday through Friday, 8 AM to 6 PM central time
Tel:	866-941-7146
Email:	Help@CPRITGrants.org

7.2 Program Questions

Questions regarding the CPRIT Prevention Program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Prevention Program Office.

Tel:	512-305-8417
Email:	Help@CPRITGrants.org
Website:	www.cprit.texas.gov

8. RESOURCES

- The Texas Cancer Registry. https://www.dshs.texas.gov/tcr or contact the Texas Cancer Registry at the Department of State Health Services.
- The Community Guide. http://www.thecommunityguide.org/index.html
- Cancer Control P.L.A.N.E.T. http://cancercontrolplanet.cancer.gov
- Guide to Clinical Preventive Services: Recommendations of the U.S. Preventive Services Task Force. http://www.ahrq.gov/professionals/clinicians-providers/guidelines-recommendations/guide/
- Brownson, R.C., Colditz G.A., and Proctor, E.K. (Editors). *Dissemination and Implementation Research in Health: Translating Science to Practice.* Oxford University Press, March 2012
- Program Sustainability Assessment Tool, copyright 2012, Washington University, St. Louis, MO, https://www.sustaintool.org/about-us/
- Getting the Word Out: New Approaches for Disseminating Public Health Science Ross C. Brownson, PhD; Amy A. Eyler, PhD; Jenine K. Harris, PhD; Justin B. Moore, PhD, MS; Rachel G. Tabak, PhD, RD, **Journal of Public Health Management & Practice.** 24(2):102-111, March/April 2018. (https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting_the_Word_Out___New_Approaches_for.4.aspx)
- Centers for Disease Control and Prevention: The Program Sustainability Assessment Tool: A New Instrument for Public Health Programs. http://www.cdc.gov/pcd/issues/2014/13_0184.htm
- Centers for Disease Control and Prevention: Using the Program Sustainability Tool to Assess and Plan for Sustainability. http://www.cdc.gov/pcd/issues/2014/13_0185.htm
- Cancer Prevention and Control Research Network: Putting Public Health Evidence in Action Training Workshop. http://cpcrn.org/pub/evidence-in-action/
- Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf

9. REFERENCES

1. National Cancer Institute, https://www.cancer.gov
2. American Cancer Society, Cancer Facts and Figures 2016, http://www.cancer.org/research/cancerfactsstatistics/cancerfactsfigures2016
3. Texas Cancer Registry, Cancer Epidemiology and Surveillance Branch, Texas Department of State Health Services. https://www.cancer-rates.info/tx/
4. Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf

APPENDIX A: KEY TERMS

- **Activities:** A listing of the "who, what, when, where, and how" for each objective that will be accomplished.
- **Capacity Building**: Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee's setting or community to continue the delivery of some or all components of the evidence-based intervention.
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation, or clinical services. Examples include people traveling to receive services as a result of marketing and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities and delivery of clinical services through clinics, mobile vans, or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments. One individual may receive multiple education services.

- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT's website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit https://www.cprit.state.tx.us/our-programs/prevention.
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project. (Appendix B)
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee's setting or community through policies and practice.
- **Navigation Services:** Number of activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes. Examples include patient reminders, transportation assistance, and appointment scheduling assistance. One individual may receive multiple navigation services.
- **Number of Clinical Services:** Number of clinical services delivered directly to members of the public by the funded project. One individual may receive multiple clinical services.
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. One individual may receive multiple services.
- **Objectives:** Specific, **measurable,** actionable, realistic, and timely projections for outcomes; example: "Increase screening service provision in X population from Y% to Z% by 20xx." Baseline data for the priority population must be included as part of each objective. (Appendix B) The proposed metric should be included in **both** the objective and the measure.
- **People Reached (Indirect contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service announcements, newsletters, and journals. (This category includes individuals who would

be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.)

- **Unique People Served (Direct Contact):** Number of unique members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

APPENDIX B: WRITING GOALS AND OBJECTIVES

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within **both** the stated objective and the measure. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives.

The following guide has been adapted with permission from Appalachia Community Cancer Network, NIH Grant U54 CA 153604:

Develop well-defined outcome goals and objectives.

Goals provide a roadmap or plan for where a group wants to go. Goals can be long term (over several years) or short term (over several months). Goals should be based on needs of the community and evidence-based data.

Goals should be:

- Believable – situations or conditions that the group believes can be achieved
- Attainable – possible within a designated time
- Tangible – capable of being understood or realized
- On a timetable – with a completion date
- Win-Win – beneficial to individual members and the coalition

Objectives are measurable steps toward achieving the goal. They are clear statements of specific activities required to achieve the goal. The best objectives have several characteristics in common – S.M.A.R.T. + C:

- Specific – they tell how much (number or percent), who (participants), what (action or activity), and by when (date)
  - Example: 115 uninsured individuals age 50 and older will complete colorectal cancer screening by March 31, 2018.
- Measurable – specific measures that can be collected, detected, or obtained to determine successful attainment of the objective
  - Example: How many screened at an event? How many completed pre/post assessment?

- Achievable – not only are the objectives themselves possible, it is likely that your organization will be able to accomplish them
- Relevant to the mission – your organization has a clear understanding of how these objectives fit in with the overall vision and mission of the group
- Timed – developing a timeline is important for when your task will be achieved
- Challenging – objectives should stretch the group to aim on significant improvements that are important to members of the community

Evaluate and refine your objectives

Review your developed objectives and determine the type and level of each using the following information:

There are 2 types of objectives:

- Outcome objectives – measure the "what" of a program; should be in the Goals and Objectives form (see section 4.4.2)
- Process objectives – measure the "how" of a program; should be in the project plan only (see section 4.4.4)

There are 3 levels of objectives:

- Community-level – objectives measure the planned community change
- Program impact – objectives measure the impact the program will have on a specific group of people
- Individual – objectives measures participant changes resulting from a specific program, using these factors:
  - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
  - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable is important)
  - Skills – the ability to do something (complete fecal occult blood test)
  - Intentions – regarding plan for future behavior (will agree to talk to the doctor, will plan to schedule a Pap test)
  - Behaviors (past or current) – to act in a particular way (will exercise 30+ minutes a day, will have a mammogram)

Well-defined outcome goals and objectives can be used to track, measure, and report progress toward achievement.

Summary Table

	Outcome – Use in Goals and Objectives	Process – Use in Project Plan only
Community-level	WHAT will change in a community ***Example:*** *As a result of CPRIT funding, FIT (fecal immunochemical tests) will be available to 1,500 uninsured individuals age 50 and over through 10 participating local clinics and doctors.*	HOW the community change will come about ***Example:*** *Contracts will be signed with participating local providers to enable uninsured individuals over age 50 have access to free colorectal cancer screening in their communities.*
Program impact	WHAT will change in the target group as a result of a particular program ***Example:*** *As a result of this project, 200 uninsured women between 40 and 49 will receive free breast and cervical cancer screening.*	HOW the program will be implemented to affect change in a group/population ***Example:*** *2,000 female clients, between 40 and 49, will receive a letter inviting them to participate in breast and cervical cancer screening.*
Individual	WHAT an individual will learn as a result of a particular program, or WHAT change an individual will make as a result of a particular program ***Example:*** *As a result of one-to-one education of 500 individuals, at least 20% of participants will participate in a smoking cessation program to quit smoking.*	HOW the program will be implemented to affect change in an individual's knowledge or actions ***Example:*** *As a result of one-to-one counseling, all participants will identify at least 1 smoking cessation service and 1 smoking cessation aid.*

Third Party Observer Reports

Cancer Prevention and Research Institute of Texas (CPRIT)
Prevention Peer Review Meeting Panel 1
(20.1_PRV_PP-1)
Observation Report

Report No.	2019-12-11 20.1_PRV_ PP-1
Program Name:	Prevention
Panel Name:	Prevention Peer Review Meeting Panel 1 (20.1_PRV_ PP -1)
Panel Date:	12-10-2019 and 12-11-2019
Report Date:	12-17-2019

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 Prevention Peer Review Meeting Panel 1 (20.1_PRV_ PP-1) meeting. The meeting was chaired by Ross Brownson and conducted via in-person on December 10, 2019 and December 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; Fifteen (15) applications were discussed and fifteen (15) were not discussed on December 10, 2019; and two (2) applications were discussed on December 11, 2019
- Panelists: One (1) panel chair and twelve (12) expert reviewers and three (3) advocate reviewers on December 10 and 11, 2019,
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) GDIT or contracted staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were three (3) 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,

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)
20.1 Prevention Programmatic Review Panel (20.1_PRV_PRC)
Observation Report

Report No.	2020-01-17 20.1_PRV_PRC
Program Name:	Prevention
Panel Name:	20.1 Prevention Programmatic Review Panel (20.1_PRV_PRC)
Panel Date:	01-17-2020
Report Date:	01-28-2020

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 Prevention Programmatic Review - 20.1 (PRV_PRC_20.1) meeting. The meeting was chaired by Stephen Wyatt and conducted via teleconference on January 17, 2020.

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: Twelve (12) applications were discussed
- Panelists: One (1) panel chair and two (2) 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: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There was one (1) COI identified prior to and/or during the meeting; however, the application in question was not discussed during the conference call.

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,

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

CPRIT Prevention Cycle 20.1 Applications

Prevention Cycle 20.1 Applications Announced at the February 19, 2020, 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 Prevention Cycle 20.1 include *Evidence-Based Cancer Prevention Services; Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations; Tobacco Control and Lung Cancer Screening; and Dissemination of CPRIT-Funded Cancer Control Interventions*. 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/PD	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
PP200028	Karen Basen-Engquist	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen
PP200036	Michael Pignone	The University of Texas at Austin	Marcus Plescia
Applications not considered by the PIC or Oversight Committee			
PP200016	Walter Calmbach	The University of Texas Health Science Center at San Antonio	Ross Brownson

T.A.C. Section 702.19 Waiver

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO:	OVERSIGHT COMMITTEE MEMBERS
FROM:	WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT:	T.A.C. § 702.19 WAIVER
DATE:	JUNE 11, 2019

Summary

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Ramona Magid, CPRIT's Chief Prevention Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to the first prevention review cycle of FY 2020. No Oversight Committee action related to this waiver is necessary.

Background and Discussion

I promoted Ms. Magid to the Chief Prevention Officer position on June 1 following Dr. Becky Garcia's retirement. The Chief Prevention Officer is a statutorily mandated member of the Program Integration Committee (PIC). Texas Administrative Code § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

Traditionally, a chief program officer leads each CPRIT program with the assistance of a program manager. The program manager fields inquiries from and provides technical help to applicants completing their CPRIT grant applications. However, the prevention program manager position is vacant currently with Ms. Magid's promotion. Until CPRIT fills the program manager position, Ms. Magid is the sole point of contact for the prevention program. The communication waiver is necessary so that she can help grant applicants who have questions during the application process.

Approving this waiver does not favor any grant applicant over another. Ms. Magid will provide technical assistance only and will not comment on the substance of a grant application.

This waiver will be part of the grant record for the cycle 20.1 prevention grant applications.

De-Identified Overall Evaluation Scores

Tobacco Control and Lung Cancer Screening

Prevention Cycle 20.1

Application ID	Final Overall Evaluation Score
PP200040*	3.2
Da	4.5
Db	5.2
Dc	6.5
dd	6.8

* Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

Dee Margo
Oversight Committee Presiding Officer
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com
Via email to Dee Margo assistant, Olivia Zepeda, zepedaox@elpasotexas.gov

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

Dear Mr. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.1 Evidence-Based Cancer Prevention Services (EBP), Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS), and Tobacco Control and Lung Cancer Screening awards.

The PRC met on January 17, 2020 to consider the applications recommended by the peer review panel following their December 10-11 meeting and to review the applications submitted to CPRIT under the Dissemination of CPRIT-Funded Cancer Control Interventions mechanism.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC did not make changes to the goals, timelines, or project objectives requested by the applicants.

The funding available for fiscal year 2020 is $28,035,081. These recommended projects total $13,507,769.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,
Stephen W. Wyatt, DMD, MPH
Chair, CPRIT Prevention Review Council

Attachment

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Cycle 20.1 Recommended Prevention Program Awards

App. ID	Mech	Application Title	PD	Organization	Score	Rank Order	Budget
PP200006	EPS	De Casa en Casa 3: Cervical Cancer Screening in Underserved Rural and Border Communities in West and South Texas	Shokar, Navkiran	Texas Tech University Health Sciences Center at El Paso	1.9	1	$1,985,089
PP200055	DI	Advancing the Access to Cancer Training, Information, Outreach, and Navigation (ACTION) Project for CHW Dissemination of Resources to At-Risk Texas Regions	Bolin, Jane	Texas A&M University System Health Science Center	2.0	2	$ 300,000
PP200028	EPS	Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation	Basen-Engquist, Karen	The University of Texas M. D. Anderson Cancer Center	2.3	3	$ 1,999,200
PP200005	EPS	Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas	Berenson, Abbey	The University of Texas Medical Branch at Galveston	2.7	4	$ 1,993,096
PP200017	EPS	Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools	Cuccaro, Paula	The University of Texas Health Science Center at Houston	2.8	5	$ 1,960,631
PP200051	DI	Taking Texas Tobacco Free Through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings	Reitzel, Lorraine	University of Houston	3.0	6	$ 299,953
PP200034	EBP	Advancing Breast Health among Uninsured Women	Jacobs, Elizabeth	The University of Texas at Austin	3.1	7	$ 995,999
PP200040	TCL	BEXAR COUNTY'S NAVIGATION TO CESSATION (N2C)	Scott, Anthony	University Health System	3.2	8	$ 973,809
PP200009	EPS	The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation	Argenbright, Keith	The University of Texas Southwestern Medical Center	3.2	9	$ 2,000,000

PP200036	EBP	Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention	Pignone, Michael	The University of Texas at Austin	3.4	10	$ 999,992

EBP: Evidence-Based Cancer Prevention Services
EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
TCL: Tobacco Control and Lung Cancer Screening
DI: Dissemination of CPRIT-Funded Cancer Control Interventions

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200005
Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

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 *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received 11 applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
APPLICATION ID: PP200005
APPLICATION TITLE: Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas
APPLICANT NAME: Berenson, Abbey B
ORGANIZATION: The University of Texas Medical Branch at Galveston
PANEL NAME: 20.1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	12/31/2019
	RFA published in Texas.gov eGrants	**05/09/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) closed	**09/04/2019**	12/31/2019
	Date application submitted	**08/29/2019**	12/31/2019
	Method of submission	**CARS**	12/31/2019
	Within receipt period	**YES**	12/31/2019
	Request for extension to submit application after CARS closed	**NA**	12/31/2019
	Request for extension for late application submission accepted	**NA**	12/31/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	12/31/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/31/2019
	Assigned to primary reviewers	**10/05/2019**	12/31/2019
	Applicant notified of review panel assignment	**10/04/2019**	12/31/2019
	Primary Reviewer 1 COI signed	**09/30/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	**09/27/2019**	12/31/2019
	Primary Reviewer 3 COI signed	**10/01/2019**	12/31/2019
	Primary Reviewer 4 COI signed	**09/29/2019**	12/31/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**11/06/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	**11/20/2019**	12/31/2019
	Primary Reviewer 3 critique submitted	**11/20/2019**	12/31/2019
	Primary Reviewer 4 critique submitted	**11/24/2019**	12/31/2019
	COI indicated by non-primary reviewer	**NONE**	12/31/2019
	COI recused from participation	**NA**	12/31/2019
	Discussed at Peer Review Meeting	**YES**	12/31/2019
	Peer Review Meeting	**12/10/2019**	12/31/2019
	Peer Review Meeting End Date	**12/11/2019**	12/31/2019
	Post review statements signed	**12/12/2019**	12/31/2019
	Third Party Observer Report	**12/17/2019**	12/31/2019
	Score report delivered to CPO	**12/20/2019**	12/31/2019
	Recommended for PRC review	**YES**	12/31/2019
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/28/2020**	01/29/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200006
Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

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 *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received 11 applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
APPLICATION ID: PP200006
APPLICATION TITLE: De Casa en Casa 3: Cervical Cancer Screening in Undeserved Rural and Border Communities in West and South Texas
APPLICANT NAME: Shokar, Navkiran K
ORGANIZATION: Texas Tech University Health Sciences Center at El Paso
PANEL NAME: 20.1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	12/31/2019
	RFA published in Texas.gov eGrants	**05/09/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) closed	**09/04/2019**	12/31/2019
	Date application submitted	**09/03/2019**	12/31/2019
	Method of submission	**CARS**	12/31/2019
	Within receipt period	**YES**	12/31/2019
	Request for extension to submit application after CARS closed	**NA**	12/31/2019
	Request for extension for late application submission accepted	**NA**	12/31/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	12/31/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/31/2019
	Assigned to primary reviewers	**10/05/2019**	12/31/2019
	Applicant notified of review panel assignment	**10/04/2019**	12/31/2019
	Primary Reviewer 1 COI signed	**09/29/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	**09/27/2019**	12/31/2019
	Primary Reviewer 3 COI signed	**10/03/2019**	12/31/2019
	Primary Reviewer 4 COI signed	**09/30/2019**	12/31/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**11/01/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	**11/23/2019**	12/31/2019
	Primary Reviewer 3 critique submitted	**11/23/2019**	12/31/2019
	Primary Reviewer 4 critique submitted	**10/19/2019**	12/31/2019
	COI indicated by non-primary reviewer	**NONE**	12/31/2019
	COI recused from participation	**NA**	12/31/2019
	Discussed at Peer Review Meeting	**YES**	12/31/2019
	Peer Review Meeting	**12/10/2019**	12/31/2019
	Peer Review Meeting End Date	**12/11/2019**	12/31/2019
	Post review statements signed	**12/12/2019**	12/31/2019
	Third Party Observer Report	**12/17/2019**	12/31/2019
	Score report delivered to CPO	**12/20/2019**	12/31/2019
	Recommended for PRC review	**YES**	12/31/2019
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/28/2020**	01/29/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200009
Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

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 *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received 11 applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
APPLICATION ID: PP200009
APPLICATION TITLE: The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation
APPLICANT NAME: Argenbright, Keith E
ORGANIZATION: The University of Texas Southwestern Medical Center
PANEL NAME: 20_1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	12/31/2019
	RFA published in Texas.gov eGrants	**05/09/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) closed	**09/04/2019**	12/31/2019
	Date application submitted	**09/03/2019**	12/31/2019
	Method of submission	**CARS**	12/31/2019
	Within receipt period	**YES**	12/31/2019
	Request for extension to submit application after CARS closed	**NA**	12/31/2019
	Request for extension for late application submission accepted	**NA**	12/31/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	12/31/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/31/2019
	Assigned to primary reviewers	**10/05/2019**	12/31/2019
	Applicant notified of review panel assignment	**10/04/2019**	12/31/2019
	Primary Reviewer 1 COI signed	**09/30/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	**09/27/2019**	12/31/2019
	Primary Reviewer 3 COI signed	**10/01/2019**	12/31/2019
	Primary Reviewer 4 COI signed	**10/03/2019**	12/31/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**11/17/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	**11/23/2019**	12/31/2019
	Primary Reviewer 3 critique submitted	**11/21/2019**	12/31/2019
	Primary Reviewer 4 critique submitted	**11/22/2019**	12/31/2019
	COI indicated by non-primary reviewer	**NONE**	12/31/2019
	COI recused from participation	**NA**	12/31/2019
	Discussed at Peer Review Meeting	**YES**	12/31/2019
	Peer Review Meeting	**12/10/2019**	12/31/2019
	Peer Review Meeting End Date	**12/11/2019**	12/31/2019
	Post review statements signed	**12/12/2019**	12/31/2019
	Third Party Observer Report	**12/17/2019**	12/31/2019
	Score report delivered to CPO	**12/20/2019**	12/31/2019
	Recommended for PRC review	**YES**	12/31/2019
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/28/2020**	01/29/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200017
Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

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:

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

- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
APPLICATION ID: PP200017
APPLICATION TITLE: Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools
APPLICANT NAME: Cuccaro, Paula
ORGANIZATION: The University of Texas Health Science Center at Houston
PANEL NAME: 20.1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	12/31/2019
	RFA published in Texas.gov eGrants	**05/09/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) closed	**09/04/2019**	12/31/2019
	Date application submitted	**09/04/2019**	12/31/2019
	Method of submission	**CARS**	12/31/2019
	Within receipt period	**YES**	12/31/2019
	Request for extension to submit application after CARS closed	**NA**	12/31/2019
	Request for extension for late application submission accepted	**NA**	12/31/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	12/31/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/31/2019
	Assigned to primary reviewers	**10/05/2019**	12/31/2019
	Applicant notified of review panel assignment	**10/04/2019**	12/31/2019
	Primary Reviewer 1 COI signed	**10/03/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	**09/27/2019**	12/31/2019
	Primary Reviewer 3 COI signed	**09/30/2019**	12/31/2019
	Primary Reviewer 4 COI signed	**09/30/2019**	12/31/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**11/22/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	**11/22/2019**	12/31/2019
	Primary Reviewer 3 critique submitted	**11/22/2019**	12/31/2019
	Primary Reviewer 4 critique submitted	**11/25/2019**	12/31/2019
	COI indicated by non-primary reviewer	**NONE**	12/31/2019
	COI recused from participation	**NA**	12/31/2019
	Discussed at Peer Review Meeting	**YES**	12/31/2019
	Peer Review Meeting	**12/10/2019**	12/31/2019
	Peer Review Meeting End Date	**12/11/2019**	12/31/2019
	Post review statements signed	**12/12/2019**	12/31/2019
	Third Party Observer Report	**12/17/2019**	12/31/2019
	Score report delivered to CPO	**12/20/2019**	12/31/2019
	Recommended for PRC review	**YES**	12/31/2019
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/28/2020**	01/29/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200028
Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

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 *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received 11 applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
APPLICATION ID: PP200028
APPLICATION TITLE: Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation
APPLICANT NAME: Basen-Engquist, Karen M
ORGANIZATION: The University of Texas M. D. Anderson Cancer Center
PANEL NAME: 20.1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	12/31/2019
	RFA published in Texas.gov eGrants	**05/09/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) closed	**09/04/2019**	12/31/2019
	Date application submitted	**08/30/2019**	12/31/2019
	Method of submission	**CARS**	12/31/2019
	Within receipt period	**YES**	12/31/2019
	Request for extension to submit application after CARS closed	**NA**	12/31/2019
	Request for extension for late application submission accepted	**NA**	12/31/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	12/31/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/31/2019
	Assigned to primary reviewers	**10/05/2019**	12/31/2019
	Applicant notified of review panel assignment	**10/04/2019**	12/31/2019
	Primary Reviewer 1 COI signed	**10/03/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	**09/29/2019**	12/31/2019
	Primary Reviewer 3 COI signed	**10/03/2019**	12/31/2019
	Primary Reviewer 4 COI signed	**10/01/2019**	12/31/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**12/04/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	**11/23/2019**	12/31/2019
	Primary Reviewer 3 critique submitted	**11/19/2019**	12/31/2019
	Primary Reviewer 4 critique submitted	**11/21/2019**	12/31/2019
	COI indicated by non-primary reviewer	**Michael Eriksen**	12/31/2019
	COI recused from participation	**YES**	12/31/2019
	Discussed at Peer Review Meeting	**YES**	12/31/2019
	Peer Review Meeting	**12/10/2019**	12/31/2019
	Peer Review Meeting End Date	**12/11/2019**	12/31/2019
	Post review statements signed	**12/12/2019**	12/31/2019
	Third Party Observer Report	**12/17/2019**	12/31/2019
	Score report delivered to CPO	**12/20/2019**	12/31/2019
	Recommended for PRC review	**YES**	12/31/2019
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/28/2020**	01/29/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200034
Evidence Based Cancer Prevention Services

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 *Evidence Based Cancer Prevention Services* Request for Applications (RFA). CPRIT received 14 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Evidence-Based Cancer Prevention Services
APPLICATION ID: PP200034
APPLICATION TITLE: Advancing Breast Health among Uninsured Women
APPLICANT NAME: JACOBS, ELIZABETH A
ORGANIZATION: The University of Texas at Austin
PANEL NAME: 20_1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	12/31/2019
	RFA published in Texas.gov eGrants	**05/09/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) closed	**09/04/2019**	12/31/2019
	Date application submitted	**09/04/2019**	12/31/2019
	Method of submission	**CARS**	12/31/2019
	Within receipt period	**YES**	12/31/2019
	Request for extension to submit application after CARS closed	**NA**	12/31/2019
	Request for extension for late application submission accepted	**NA**	12/31/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**09/20/2019**	12/31/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/31/2019
	Assigned to primary reviewers	**10/05/2019**	12/31/2019
	Applicant notified of review panel assignment	**10/04/2019**	12/31/2019
	Primary Reviewer 1 COI signed	**09/29/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	**09/27/2019**	12/31/2019
	Primary Reviewer 3 COI signed	**10/03/2019**	12/31/2019
	Primary Reviewer 4 COI signed	**09/29/2019**	12/31/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**10/28/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	**11/23/2019**	12/31/2019
	Primary Reviewer 3 critique submitted	**11/19/2019**	12/31/2019
	Primary Reviewer 4 critique submitted	**11/22/2019**	12/31/2019
	COI indicated by non-primary reviewer	**NONE**	12/31/2019
	COI recused from participation	**NA**	12/31/2019
	Discussed at Peer Review Meeting	**YES**	12/31/2019
	Peer Review Meeting	**12/10/2019**	12/31/2019
	Peer Review Meeting End Date	**12/11/2019**	12/31/2019
	Post review statements signed	**12/12/2019**	12/31/2019
	Third Party Observer Report	**12/17/2019**	12/31/2019
	Score report delivered to CPO	**12/20/2019**	12/31/2019
	Recommended for PRC review	**YES**	12/31/2019
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/28/2020**	01/29/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200036
Evidence Based Cancer Prevention Services

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 *Evidence Based Cancer Prevention Services* Request for Applications (RFA). CPRIT received 14 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Evidence-Based Cancer Prevention Services
APPLICATION ID: PP200036
APPLICATION TITLE: Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention
APPLICANT NAME: Pignone, Michael
ORGANIZATION: The University of Texas at Austin
PANEL NAME: 20.1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	12/31/2019
	RFA published in Texas.gov eGrants	**05/09/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	12/31/2019
	CPRIT Application Receipt System (CARS) closed	**09/04/2019**	12/31/2019
	Date application submitted	**09/04/2019**	12/31/2019
	Method of submission	**CARS**	12/31/2019
	Within receipt period	**YES**	12/31/2019
	Request for extension to submit application after CARS closed	**NA**	12/31/2019
	Request for extension for late application submission accepted	**NA**	12/31/2019
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	12/31/2019
	Donation(s) made to CPRIT / foundation	**NO**	12/31/2019
	Assigned to primary reviewers	**10/05/2019**	12/31/2019
	Applicant notified of review panel assignment	**10/04/2019**	12/31/2019
	Primary Reviewer 1 COI signed	**10/03/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	**09/27/2019**	12/31/2019
	Primary Reviewer 3 COI signed	**10/03/2019**	12/31/2019
	Primary Reviewer 4 COI signed	**10/01/2019**	12/31/2019
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**11/16/2019**	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	**11/25/2019**	12/31/2019
	Primary Reviewer 3 critique submitted	**11/26/2019**	12/31/2019
	Primary Reviewer 4 critique submitted	**11/19/2019**	12/31/2019
	COI indicated by non-primary reviewer	**Marcus Plescia**	12/31/2019
	COI recused from participation	**YES**	12/31/2019
	Discussed at Peer Review Meeting	**YES**	12/31/2019
	Peer Review Meeting	**12/10/2019**	12/31/2019
	Peer Review Meeting End Date	**12/11/2019**	12/31/2019
	Post review statements signed	**12/12/2019**	12/31/2019
	Third Party Observer Report	**12/17/2019**	12/31/2019
	Score report delivered to CPO	**12/20/2019**	12/31/2019
	Recommended for PRC review	**YES**	12/31/2019
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/28/2020**	01/29/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200040
Tobacco Control and Lung Cancer Screening

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 *Tobacco Control and Lung Cancer Screening* Request for Applications (RFA). CPRIT received five applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Tobacco Control and Lung Cancer Screening
APPLICATION ID: PP200040
APPLICATION TITLE: BEXAR COUNTY'S NAVIGATION TO CESSATION (N2C)
APPLICANT NAME: Scott, Anthony A
ORGANIZATION: University Health System
PANEL NAME: 20.1_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CPO	05/02/2019	12/31/2019
	RFA published in Texas.gov eGrants	05/09/2019	12/31/2019
	CPRIT Application Receipt System (CARS) opened	06/06/2019	12/31/2019
	CPRIT Application Receipt System (CARS) closed	09/04/2019	12/31/2019
	Date application submitted	09/04/2019	12/31/2019
	Method of submission	CARS	12/31/2019
	Within receipt period	YES	12/31/2019
	Request for extension to submit application after CARS closed	NA	12/31/2019
	Request for extension for late application submission accepted	NA	12/31/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	12/31/2019
	Donation(s) made to CPRIT / foundation	NO	12/31/2019
	Assigned to primary reviewers	10/05/2019	12/31/2019
	Applicant notified of review panel assignment	10/04/2019	12/31/2019
	Primary Reviewer 1 COI signed	10/03/2019	12/31/2019
	Primary (Advocate) Reviewer 2 COI signed	09/29/2019	12/31/2019
	Primary Reviewer 3 COI signed	09/30/2019	12/31/2019
	Primary Reviewer 4 COI signed	10/09/2019	12/31/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	11/27/2019	12/31/2019
	Primary (Advocate) Reviewer 2 critique submitted	11/23/2019	12/31/2019
	Primary Reviewer 3 critique submitted	11/22/2019	12/31/2019
	Primary Reviewer 4 critique submitted	11/25/2019	12/31/2019
	COI indicated by non-primary reviewer	NONE	12/31/2019
	COI recused from participation	NA	12/31/2019
	Discussed at Peer Review Meeting	YES	12/31/2019
	Peer Review Meeting	12/10/2019	12/31/2019
	Peer Review Meeting End Date	12/11/2019	12/31/2019
	Post review statements signed	12/12/2019	12/31/2019
	Third Party Observer Report	12/17/2019	12/31/2019
	Score report delivered to CPO	12/20/2019	12/31/2019
	Recommended for PRC review	YES	12/31/2019
Final PRC Recommendation	COI indicated by PRC member	NONE	01/22/2020
	COI recused from participation	NA	01/22/2020
	PRC Meeting	01/17/2020	01/22/2020
	Third Party Observer Report	01/28/2020	01/29/2020
	Recommended for grant award	YES	01/22/2020
	PRC Chair Notification to PIC and OC	01/21/2020	01/22/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200051
Dissemination of CPRIT-Funded Cancer Control Interventions

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 *Dissemination of CPRIT-Funded Cancer Control Interventions* Request for Applications (RFA). CPRIT received five applications in response to this RFA. This application was assigned to the Prevention Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

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

I note one application recommended by the Prevention Review Council (PRC) for this mechanism, has a score equal to an application that was not recommended. As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities, programmatic review criteria, and the overall program portfolio.

On June 11, 2019, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Dissemination of CPRIT-Funded Cancer Control Interventions
APPLICATION ID: PP200051
APPLICATION TITLE: Taking Texas Tobacco Free through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings
APPLICANT NAME: Reitzel, Lorraine R
ORGANIZATION: University of Houston
PANEL NAME: 20.1 Prevention DI

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	01/22/2020
	RFA published in Texas.gov eGrants	**06/06/2019**	01/22/2020
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	01/22/2020
	20.1 Application Receipt System (CARS) closed	**12/02/2019**	01/22/2020
	CPRIT Application Receipt System (CARS) closed	**NA**	01/22/2020
	Date application submitted	**12/02/2019**	01/22/2020
	Method of submission	**CARS**	01/22/2020
	Within receipt period	**YES**	01/22/2020
	Request for extension to submit application after CARS closed	**NA**	01/22/2020
	Request for extension for late application submission accepted	**NA**	01/22/2020
Receipt, Referral, and Assignment	**Administrative review notification**	**12/06/2019**	01/22/2020
	Donation(s) made to CPRIT / foundation	**NO**	01/22/2020
	Assigned to primary reviewers	**12/19/2019**	01/22/2020
	Applicant notified of review panel assignment	**NA**	01/22/2020
	Primary Reviewer 1 COI signed	**12/09/2019**	01/22/2020
	Primary Reviewer 2 COI signed	**12/07/2019**	01/22/2020
	Primary Reviewer 3 COI signed	**NA**	01/22/2020
	Primary Reviewer 4 COI signed	**NA**	01/22/2020
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**12/23/2019**	01/22/2020
	Primary Reviewer 2 critique submitted	**01/05/2020**	01/22/2020
	Primary Reviewer 3 critique submitted	**NA**	01/22/2020
	Primary Reviewer 4 critique submitted	**NA**	01/22/2020
	COI indicated by non-primary reviewer	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	Discussed at Peer Review Meeting	**YES**	01/22/2020
	Peer Review Meeting	**01/17/2020**	01/22/2020
	Post review statements signed	**01/20/2020**	01/22/2020
	Third Party Observer Report	**01/23/2020**	01/24/2020
	Score report delivered to CPO	**01/21/2020**	01/22/2020
	Recommended for PRC review	**YES**	01/22/2020
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/23/2020**	01/24/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application PP200055
Dissemination of CPRIT-Funded Cancer Control Interventions

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

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

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

I note one application recommended by the Prevention Review Council (PRC) for this mechanism, has a score equal to an application that was not recommended. As allowed in 25 T.A.C. § 703.6(d)(1), the PRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities, programmatic review criteria, and the overall program portfolio.

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In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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

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CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

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Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:49 PM

FY: 2020
CYCLE: 1
PROGRAM: Prevention
MECHANISM: Dissemination of CPRIT-Funded Cancer Control Interventions
APPLICATION ID: PP200055
APPLICATION TITLE: Advancing the Access to Cancer Training, Information, Outreach and Navigation (ACTION) project for CHW dissemination of resources to at-risk Texas regions
APPLICANT NAME: Bolin, Jane N
ORGANIZATION: Texas A&M University System Health Science Center
PANEL NAME: 20.1_Prevention DI

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	**RFA Approved by CPO**	**05/02/2019**	01/22/2020
	RFA published in Texas.gov eGrants	**06/06/2019**	01/22/2020
	CPRIT Application Receipt System (CARS) opened	**06/06/2019**	01/22/2020
	20.1 Application Receipt System (CARS) closed	**12/02/2019**	01/22/2020
	CPRIT Application Receipt System (CARS) closed	**NA**	01/22/2020
	Date application submitted	**12/02/2019**	01/22/2020
	Method of submission	**CARS**	01/22/2020
	Within receipt period	**YES**	01/22/2020
	Request for extension to submit application after CARS closed	**NA**	01/22/2020
	Request for extension for late application submission accepted	**NA**	01/22/2020
Receipt, Referral, and Assignment	**Administrative review notification**	**NA**	01/22/2020
	Donation(s) made to CPRIT / foundation	**NO**	01/22/2020
	Assigned to primary reviewers	**12/19/2019**	01/22/2020
	Applicant notified of review panel assignment	**NA**	01/22/2020
	Primary Reviewer 1 COI signed	**12/14/2019**	01/22/2020
	Primary Reviewer 2 COI signed	**12/07/2019**	01/22/2020
	Primary Reviewer 3 COI signed	**NA**	01/22/2020
	Primary Reviewer 4 COI signed	**NA**	01/22/2020
Peer Review Meeting	**Primary Reviewer 1 critique submitted**	**01/13/2020**	01/22/2020
	Primary Reviewer 2 critique submitted	**01/05/2020**	01/22/2020
	Primary Reviewer 3 critique submitted	**NA**	01/22/2020
	Primary Reviewer 4 critique submitted	**NA**	01/22/2020
	COI indicated by non-primary reviewer	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	Discussed at Peer Review Meeting	**YES**	01/22/2020
	Peer Review Meeting	**01/17/2020**	01/22/2020
	Post review statements signed	**01/20/2020**	01/22/2020
	Third Party Observer Report	**01/23/2020**	01/24/2020
	Score report delivered to CPO	**01/21/2020**	01/22/2020
	Recommended for PRC review	**YES**	01/22/2020
Final PRC Recommendation	**COI indicated by PRC member**	**NONE**	01/22/2020
	COI recused from participation	**NA**	01/22/2020
	PRC Meeting	**01/17/2020**	01/22/2020
	Third Party Observer Report	**01/23/2020**	01/24/2020
	Recommended for grant award	**YES**	01/22/2020
	PRC Chair Notification to PIC and OC	**01/21/2020**	01/22/2020
PIC Review	**COI indicated by PIC member**	**NONE**	02/04/2020
	COI recused from participation	**NA**	02/04/2020
	PIC Review Meeting	**02/04/2020**	02/04/2020
	Recommended for grant award	**YES**	02/04/2020
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	**NA**	
	Authority to advance funds requested	**NA**	
	Advance authority approved by Oversight Committee	**NA**	

CPRIT retains the identity of the attesting party.

Product Development Research Priorities Addressed by the Recommended 20.1 Cycle Awards					
Funding novel projects that offer therapeutics or diagnostics not currently available, i.e., disruptive technologies	**Funding projects addressing large or challenging unmet medical needs**	**Investing in early stage projects when private capital is least available**	**Stimulating commercialization of technologies developed at Texas institutions**	**Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life sciences expertise, especially C-level staff to lead seed clusters of life science expertise at various Texas locations**	**Providing appropriate return on Texas taxpayer investment**
$11,996,760 4 projects	**$11,996,760 4 projects**	**$11,996,760 4 projects**	**$8,996,760 3 projects**	**$11,996,760 4 projects**	**$11,996,760 4 projects**
• DP200018 • DP200033 • DP200046 • DP200056	• DP200018 • DP200033 • DP200046 • DP200056	• DP200018 • DP200033 • DP200046 • DP200056	• DP200033 • DP200046 • DP200056	• DP200018 • DP200033 • DP200046 • DP200056	• DP200018 • DP200033 • DP200046 • DP200056

Note: Some grant awards address more than one program priority and will be double counted.

Product Development Research

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

To:	OVERSIGHT COMMITTEE MEMBERS
From:	CINDY WALKERPEACH, PHD CHIEF PRODUCT DEVELOPMENT OFFICER
Subject:	FY 20.1 PRODUCT DEVELOPMENT GRANT RECOMMENDATIONS
Date:	FEBRUARY 6, 2020

Summary of Recommendation:

The Product Development Review Council (PDRC) and the Program Integration Committee (PIC) recommend that the Oversight Committee approve product development research grant awards for the following applicants: Asylia Therapeutics, Inc., Dialectic Therapeutics, Inc., Texas Magnetic Imaging Technology, Inc., and Barricade Therapeutics, Corp. Table 1 reflects the ranked award recommendations, including the maximum recommended funding amounts and the evaluation scores for the four grant applications proposed for awards.

The PDRC and the PIC did not make any changes to timelines or budgets for the four projects recommended for funding. However, two of these recommendations are contingent on the review of items associated with intellectual property and licensing agreements described as follows:

- Execution of the CPRIT award contract for Asylia Therapeutics, Inc. is contingent on the company's filing of a provisional patent application as well as completion of the licensing agreement with University of Texas MD Anderson Cancer Center.
- Execution of the CPRIT award contract for Barricade Therapeutics, Corp. is contingent on amendment of the license agreement with UT Southwestern to provide Barricade Therapeutics IP protection of the company's lead compound.

In addition, the PDRC recommended, and the PIC approved, modifications to the proposed goals and objectives for three of the recommended awards. The modifications add clarity and specificity and are described below:

- The PDRC recommended changes to aims/goals/objectives for Dialectic Therapeutics which include modification of the wording of Goal 4, Objective 1 to state the following: "In vivo translational studies in patient-derived murine xenografts (PDX). At least 3 PDX models will be run in which the tumors need to exceed a certain volume (large enough in volume that the test will be for a therapeutic vs a prophylactic intervention), with efficacy demonstrated in a dose dependent manner. Furthermore, tests should be conducted with adequate positive and negative controls and in combination with other agents that will likely be encountered clinically and to use enough animals to derive statistical significance."

- The PDRC recommended changes to aims/goals/objectives for Asylia Therapeutics which include modifications of the wording of Goal 1, Objective 1 to state the following: "We will first humanize ASY-77A onto an IgG4 backbone with a hinge point mutation to prevent Fab arm (half-molecule) exchange with other IgG4s in vivo, and assess leads for "developability" to mitigate potential downstream problems. Four vendors will be assessed for their capability to humanize the mouse Mab consistent with the characteristics to be achieved in Objective 2." In addition, the PDRC recommended modification of the wording of Goal 2, Objective 3 to state the following: "Finally, we will complete International Council for Harmonisation, toxicokinetics, pharmacokinetics, immunotoxicology, and photosafety studies to support filing an Investigation New Drug (IND) application."
- The PDRC recommended changes to aims/goals/objectives for Texas Magnetic Imaging Technology which include modification of the wording of Goal 1, Objective 1 to state the following: "Hire a Chief Development Officer or Senior domain-experienced engineer with commercial medical device experience, a product development program manager with experience bringing medical devices to market, and engineering teams for the project. Collect system requirements from representative potential users. Determine clinical functions to be achieved by the retrofit iMRI on the Varian LINAC. Determine targeted system specifications."

Because some of these contract contingencies are related to intellectual property, CPRIT staff will work with outside IP counsel to review the companies' activities to satisfy the outstanding issues. The Chief Product Development Officer will notify the Oversight Committee if any company is unable or unwilling to address the contract contingencies related to either intellectual property or modified proposal goals and objectives.

It should also be noted that at the January 13, 2020, 20.1 Due Diligence Meeting, the PDRC took "No Action" on one (1) application. This decision reflects the PDRC's need for additional information from the applicant (DP200034), prior to making a final award recommendation. Once the applicant provides the requested information, the PDRC will reconvene, evaluate the data and make a recommendation. The PDRC is anticipated to provide their award recommendation, if any, regarding this pending application at either the May or August 2020 Oversight Committee meeting.

Table 1: 20.1 Review Cycle PDRC Award Recommendations

Rank	Application ID	Mechanism (Cycle)	Company Name	Project	Score*	Maximum Budget
1	DP200033	SEED (20.1)	Asylia Therapeutics, Inc.	Development of a Novel Approach to Cancer Immunotherapy by Targeting Extracellular Tumor-derived HSP70 to Dendritic Cells	2.9	$3,000,000
2	DP200046	SEED (20.1)	Texas Magnetic Imaging Technology, Inc.	Integrated interior magnetic resonance imaging and medical linear accelerator system for radiation therapy	3.0	$2,997,384
3	DP200018	SEED (20.1)	Dialectic Therapeutics, Inc.	Developing a First-in-Class BCL-XL Proteolysis Targeting Chimera (BCL-PROTAC) for Cancer Therapy	2.3	$3,000,000
4	DP200056	SEED (20.1)	Barricade Therapeutics, Corp.	Development of a First-in-Class Small Molecule, TASIN, for Targeting Truncated APC Mutations for the Treatment of Colorectal Cancer (CRC)	2.0	$2,999,376
					Total	$11,996,760

* average reviewer score from in-person peer review

Background - FY 2020 Review Cycle 1

CPRIT released three RFAs for the FY 2020 Cycle 1 (20.1) on November 20, 2019. The application portal for the 20.1 cycle opened on June 27, 2019 and closed on August 7, 2019. Forty-two (42) applicants were received, the largest intake pool for CPRIT's Product Development program. Two (2) applicants were administratively withdrawn, leaving forty (40) applicants for initial evaluation during the Screening Teleconference meetings held on Sept 24/25, 2019. As a result of the Screening Teleconference meetings, a total of seventeen (17) applicants from the 20.1 cycle were invited to present at the In-Person Peer Review Meeting held in Dallas October 22-25, 2019. One (1) of the seventeen (17) invited applicants withdrew prior to presenting in Dallas, and therefore a total of sixteen (16) companies presented at the In-Person Peer Review Meeting. As a result of the In-Person Peer Review Meeting, the reviewer panels selected seven (7) applications for the Diligence Evaluation phase of the peer review process.

After consideration of the diligence materials, the PDRC recommended four (4) of the 20.1 applications for grant awards. In addition, the PDRC agreed to take "No Action" on one (1) application pending a request for additional information from the applicant. Dr. Jack Geltosky, Chair PDRC, noted in his letter to the PIC and the Oversight Committees that the PDRC's recommendation to fund these four (4) awards reflected 50+ hours of individual review and panel discussion of each proposal as well as the PDRC's review of the diligence materials for each company.

The PIC met on February 4 and voted to recommend the PDRC's slate of proposed awards to the Oversight Committee.

Program Priorities Addressed by the 20.1 Cycle Proposed Awards

The chart below reflects that all recommended applications address one or more of the Product Development Research Program priorities.

Applications Addressing Priorities*	Product Development Program Priorities	Award Amount per Priority*
4	Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies	**$11,996,760**
4	Funding projects addressing large or challenging unmet medical needs	**$11,996,760**
4	Investing in early stage projects where private capital is least available	**$11,996,760**
3	Stimulating commercialization of technologies developed at Texas institutions	**$8,996,760**
4	Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life	**$11,996,760**

	science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations	
4	Providing appropriate return on taxpayer investment	**$11,996,760**

*Some proposed grant awards address more than one program priority.

Mechanism of Support and Program Objectives

Proposals submitted in the 20.1 review cycle responded to one of three product development research RFAs.

- *Texas Company Product Development Research Award* (TEXCO)
  This award mechanism seeks to support early stage "startup" and established companies in the development of innovative products and services with significant potential impact on cancer patient care. The proposed project must further the development of new products or services for the diagnosis, treatment, or prevention of cancer; must foster a robust biotechnology industry ecosystem; or must fulfill a critical unmet need in cancer patient care. Companies must be headquartered in Texas.

  Strong candidates for the TXCO award have developed a sufficiently robust data package, value proposition, regulatory strategy, manufacturing plan, and experienced business/management team to warrant the amount of funding requested.

  Award: Maximum amount $20 million over 36 months

- *Relocation Company Product Development Research Award* (RELCO)
  This award mechanism seeks to support early stage "startup" and established companies in the development of innovative products and services with significant potential impact on cancer patient care. The proposed project must further the development of new products or services for the diagnosis, treatment, or prevention of cancer; must foster a robust biotechnology industry ecosystem; or must fulfill a critical unmet need in cancer patient care. Companies must relocate to Texas upon receipt of award.

  Strong candidates for the RELCO award have developed a sufficiently robust data package, value proposition, regulatory strategy, manufacturing plan, and experienced business/management team to warrant the amount of funding requested.

  Award: Maximum amount $20 million over 36 months

- *Seed Award for Product Development Research* (SEED)
  This award mechanism seeks to support early stage "startup" companies in the development of innovative products and services with significant potential impact on cancer patient care.

  The proposed project must further the development of new products or services for the diagnosis, treatment, or prevention of cancer; must foster a robust biotechnology industry

ecosystem; or must fulfill a critical unmet need in cancer patient care. Company applicants must be headquartered in Texas or be willing to relocate to Texas upon receipt of award

Strong candidates for the SEED award have developed compelling discovery stage data and/or developed a working prototype (if applicable) around a novel compound, diagnostic, device, computational tool, etc. that warrants further development efforts to establish proof of concept (POC) on the early pathway to commercial product. In addition, strong candidates have at a minimum developed a strong value proposition, preliminary regulatory strategy, preliminary manufacturing plan, and early business/management team to warrant the amount of funding requested.

Award: Maximum amount of $3 million over 36 months.

CPRIT's Grant Award Contract and Risk Mitigation

Investing in early stage translational cancer research is inherently risky. Products in development at CPRIT Product Development Research awardees that show promise in the laboratory and in animal studies may not make a measurable difference in humans or the treatment's side effects may be so severe as to not justify the benefits. Along with the increased risk of technical failure, human studies are more complex and expensive than laboratory and animal studies.

CPRIT addresses the risk associated with product development research awards by tying disbursement of grant funds to the grantee achieving specific project goals and objectives. The grant contract requires the company to report at least annually on its progress. To receive the next tranche of project funding, the grantee must show that it has accomplished all the goals and objectives for the previous project year. The company will only receive the entire approved award amount if it successfully achieves all project goals and objectives. Because contractual goals are usually associated with project milestones, such as receiving FDA approval for an Investigational New Drug filing or completing a clinical trial, achieving all agreed-upon goals also means that the project is making meaningful progress to becoming a treatment option.

Product Development Research Program Awards
Recommended by the PDRC for FY 2020 Review Cycle 1

Asylia Therapeutics, Inc.
Proposed Seed Award for Product Development Research

Summary of Recommendation

The PDRC recommends that the PIC and Oversight Committee approve a Seed Award for Product Development Research to Asylia Therapeutics, Inc. for $3,000,000.

Asylia Therapeutics, Inc. is developing a novel antibody to Heat shock protein (HSP)-70 created at University of Texas MD Anderson that works by increasing the ability of dendritic cells, which are key to starting immune reactions, to better recognize the presence of cancer cells. As a result, T-cells become activated to kill cancer cells. Asylia Therapeutics, Inc. has conducted studies to show that their novel antibody, known as ASY-77A, is active against models of solid tumors such as breast, colon cancer, and melanoma, and against blood-related cancers such as multiple myeloma.

CPRIT Product Development Research Program Priorities Addressed

Asylia Therapeutics, Inc.'s proposed project addresses all six Product Development Research Program Priorities:

- Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies;
- Funding projects addressing large or challenging unmet medical needs;
- Investing in early stage projects where private capital is least available;
- Stimulating commercialization of technologies developed at Texas institutions;
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations; and
- Providing appropriate return on taxpayer investment.

Project Summary and Scientific Rationale

Asylia Therapeutics, Inc. plans to convert ASY-77A into a drug that can be given to patients and start clinical trials to show both its safety and efficacy for patients with cancer who do not have remaining curative options. Encouraging initial trial results will support the broader testing and use of this drug in many tumor types and at earlier stages of disease since it uses a mechanism of action that has the potential to impact all cancers. Asylia believes that their drug is a novel and broad approach to augment anti-tumor immunity and improve outcomes in a broad range of

tumor types. Through development of this novel drug, Asylia aims to improve outcomes for cancer patients in Texas and beyond whose current therapies are failing them.

These studies will leverage ongoing pre-clinical work and peer-reviewed funding in the laboratories of two of Asylia's Co-Founders, Drs. Ronald DePinho and Robert Orlowski, on the basic and translational aspects of ASY-77A.

Select Reviewer Comments

- *This is a highly innovative and compelling approach to addressing the problem of tumor immune tolerance, which at present substantially limits the effectiveness of current immune-oncology agents.*
- *Since cancer "cures" still elude us, there is a large unmet need for novel approaches that are as specific as possible, are efficacious, avoid immune system blockade, and are more generally applicable to multiple cancer types. The…therapy offers tremendous promise. For these reasons and given the strength of the scientific team, the company should be attractive to venture capital investment beyond the seed funding provided by CPRIT and therefore sustainable.*
- *The management team has outstanding academic and clinical credentials.*
- *The market opportunity for this type of targeted therapy, especially if applicable to multiple types of cancer, is large.*

Texas Magnetic Imaging Technology, Inc.
Proposed Seed Award for Product Development Research

Summary of Recommendation

The PDRC recommends that the PIC and Oversight Committee approve a Seed Award for Product Development Research to Texas Magnetic Imaging Technology, Inc. for $2,997,384.

Texas Magnetic Imaging Technology, Inc. is developing a customized compact Magnetic Resonance scanner that can be installed to conventional medical linear accelerators (LINAC), the device most commonly used for external beam radiation treatments for patients with cancer. Texas Magnetic Imaging Technology's is designed to improve accuracy and safety of radiation therapy, which is used to treat patients of multiple cancer types.

CPRIT Product Development Research Program Priorities Addressed

Texas Magnetic Imaging Technology, Inc.'s proposed project addresses all six Product Development Research Program Priorities:

- Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies;
- Funding projects addressing large or challenging unmet medical needs;
- Investing in early stage projects where private capital is least available;
- Stimulating commercialization of technologies developed at Texas institutions;
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations; and
- Providing appropriate return on taxpayer investment.

Project Summary and Scientific Rationale

Radiotherapy (RT) utilizes high-energy radiation generated by a medical linear accelerator (LINAC) to kill cancer. It is used to treat over 1/2 of cancer patients. Online imaging, i.e. to image the patient at treatment position plays an important role for RT. It helps to accurately position the tumor under the radiation beam, to allow physicians making necessary changes on treatment plans based on patient anatomy at treatment, and to see tumor motion during treatment for safety purpose.

Online imaging requires combination of a certain imaging device with a LINAC. Current CT-based systems suffer from low image quality and high x-ray radiation. Recently, two commercial systems combining magnetic resonance imaging (MRI) with LINAC have been developed. However, the bulky system design, high development cost, and sale price (~$8-10 Million) prohibit wide clinical utilization.

Texas Magnetic Imaging and Technology (TMIT), Inc., aims to solve the problem by developing customized compact MR scanners that can be installed to conventional LINACs. The technology is designed to significantly improve accuracy and safety of RT. Given the wide availability of LINACs in the US and the world, the company expects substantial commercial impacts due to the much larger market potential than that aimed by current MRI-LINAC systems.

Select Reviewer Comments

- *Evidence abounds in the need for real-time adjustment to existing radiation plans due to changes in the anatomy. This proposal, if successful, accelerates the adoption of the technology in the market to the betterment of patients.*
- *Given the large percentage of patients with cancer needing radiation therapy, having a very accurate delivery of treatment is obviously both beneficial and important for care.*
- *The budget and the company's commitment to Texas are well developed.*
- *This goal and ultimate objectives are very exciting, and if successful, then the project could deliver a great ROI for CPRIT.*

Dialectic Therapeutics, Inc.
Proposed Seed Award for Product Development Research

Summary of Recommendation

The PDRC recommends that the PIC and Oversight Committee approve a Seed Award for Product Development Research to Dialectic Therapeutics, Inc. for $3,000,000.

Dialectic Therapeutics is developing a novel drug with the potential to impact multiple cancer types. The company's novel compound is a BCL-XL proteolysis inducing chimera. Dialectic's technology attempts to overcome the toxicity limitations exhibited by other drugs targeting BCL-XL via highly selective targeting of cancer cells but not platelets. The company proposes to conduct the CPRIT-funded preclinical work at the University of Texas Health Science Center in San Antonio and to conduct clinical trials at Texas-based clinical sites.

CPRIT Product Development Research Program Priorities Addressed

Dialectic Therapeutics, Inc.'s proposed project addresses five of the six Product Development Research Program Priorities:

- Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies;
- Funding projects addressing large or challenging unmet medical needs;
- Investing in early stage projects where private capital is least available;
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations; and
- Providing appropriate return on taxpayer investment.

Project Summary and Scientific Rationale

Founded by three respected cancer scientists and two successful biotech investors, Dialectic Therapeutics is located in Dallas and has research facilities/partners at UT Health in San Antonio (UTHSA) and the University of Florida. Dialectic's lead candidate, DT2216, is a unique compound called a BCL-XL proteolysis targeting chimera (PROTAC) that selectively induces cancer cells to degrade BCL-XL, stimulating the cells to commit suicide on its own, or become more susceptible to chemotherapy.

The company believes that cancer cells are less likely to develop resistance to DT2216 than to other chemotherapy drugs. Preliminary studies show that the drug may have the potential to kill T-cell leukemia as a single agent and small cell lung cancer and breast cancer when combined with chemotherapy. It does this with very little toxicity, particularly to platelets. This novel approach to cancer therapy aims to fill a significant need in cancer treatment regimens. Pre-

clinical animal studies are planned to be performed in labs at UTHSA. The work supported by the CPRIT grant will elucidate the best cancer to target, help determine mode of delivery, and complete IND-enabling activities leading to clinical trials. If successful, Dialectic hopes to be able to provide cancer patients who have little hope with increased disease-free survival.

Select Reviewer Comments

- *This is a quality application providing substantial information about existing data and the proposed stages of preclinical development.*
- *Dialectic has a well-considered plan…and appears to have a solid understanding of the disease, current competitors, and regulatory requirements.*
- *Commitment to utilizing Texas-based resources is strong. They have established relationships with Texas-based clinicians with access to patients with T-CL.*
- *The DT team has considerable experience in drug development in the areas of clinical, pharmacology, and regulatory areas.*

Barricade Therapeutics, Corp.
Proposed Seed Award for Product Development Research

Summary of Recommendation

The PDRC recommends that the PIC and Oversight Committee approve a Seed Award for Product Development Research to Barricade Therapeutics, Corp. for $2,999,376.

Barricade Therapeutics, Corp. is developing a novel drug targeting colorectal cancer. The technology was developed by researchers at the University of Texas Southwestern. CPRIT funding will allow Barricade to further validate clinical utility of this drug in human clinical trials.

CPRIT Product Development Research Program Priorities Addressed

Barricade Therapeutics' proposed project addresses all six Product Development Research Program Priorities:

- Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies;
- Funding projects addressing large or challenging unmet medical needs;
- Investing in early stage projects where private capital is least available;
- Stimulating commercialization of technologies developed at Texas institutions;
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations; and
- Providing appropriate return on taxpayer investment.

Project Summary and Scientific Rationale

Over 1.8 million people are estimated to be stricken with colorectal cancer (CRC) every year (3rd most common cancer), and over 880,000 will die (2nd most common cancer). While improvements in prevention and screening have led to increased survival over the past several decades, metastatic cancer still has a poor prognosis (11% 5-year survival) despite best available therapies. Treatment for CRC relies heavily on non-specific chemotherapy drugs with harsh side effects.

Under prior CPRIT research awards, scientists at the University of Texas Southwestern (UTSW) identified a class of highly specific drugs for CRC, referred to as TASINs, that selectively inhibit a mutated gene (adenomatous polyposis coli, or APC) present in greater than 80% of CRC patients. Mutations in APC are one of the earliest and critical events responsible for initiation and progression of CRC. In animal studies, TASINs significantly reduced tumor growth without harming normal cells. Barricade has selected a TASIN molecule to further validate in human

studies planned for 2020, with the goal of improving the survival of CRC patients diagnosed. The selective nature of TASINs combined with the prevalence of its target in CRC makes Barricade's drug an attractive candidate for treating millions of people suffering from CRC worldwide.

Select Reviewer Comments

- *There is a need for better/newer drugs for colon cancer, and there is definitely a need for precision drugs targeting APC loss.*
- *Colon cancer claims over 50,000 people a year in the United States and is the third-leading cause of cancer deaths in the world. Survival for metastatic disease is poor, and the cancer typically become refractory to current therapies. There is no question that new treatments are urgently needed.*
- *The Barricade management team has an excellent track record and expertise in drug development.*
- *This is a bold new approach that does not involve cytotoxics and could greatly improve therapy and response if this all hangs together through development.*
- *This is super innovative, with modest investment and a good team.*

January 24, 2020

Donald "Dee" Margo
Oversight Committee Chair
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com
Via email to Dee Margo's assistant, Olivia Zepeda: ozepeda@deemargo.com

Wayne R. Roberts
Program Integration Committee Chair
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.texas.gov

Dear Dee and Wayne,

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research 20.1 grant award cycle. The PDRC convened on January 13, 2020 and recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards for the following applicants: Asylia Therapeutics, Inc., Dialectic Therapeutics, Inc., Texas Magnetic Imaging Technology, Inc., and Barricade Therapeutics, Corp. The attached table reflects the ranked award recommendations for the four grant applications.

The PDRC did not make any changes to timelines or budgets for the four projects recommended for funding. However, two of these recommendations are contingent on the review of items associated with intellectual property and licensing agreements described as follows:

- Execution of the CPRIT award contract for Asylia Therapeutics, Inc. is contingent on the company's filing of a provisional patent application as well as completion of the licensing agreement with University of Texas MD Anderson Cancer Center.
- Execution of the CPRIT award contract for Barricade Therapeutics, Corp. is contingent on amendment of the license agreement with UT Southwestern to provide Barricade Therapeutics IP protection of the company's lead compound.

In addition, the PDRC recommended modifications to the proposed goals and objectives for three of the recommended awards. The modifications add clarity and specificity and are described below:

- The PDRC recommended changes to aims/goals/objectives for Dialectic Therapeutics which include modification of the wording of Goal 4, Objective 1 to state the following: "In vivo translational studies in patient-derived murine xenografts (PDX). At least 3 PDX models will be run in which the tumors need to exceed a certain volume (large enough in volume that the test will be for a therapeutic vs a prophylactic intervention), with efficacy demonstrated in a dose dependent manner. Furthermore, tests should be conducted with adequate positive and negative controls and in combination with other agents that will likely be encountered clinically and to use enough animals to derive statistical significance."

- The PDRC recommended changes to aims/goals/objectives for Asylia Therapeutics which include modifications of the wording of Goal 1, Objective 1 to state the following: "We will first humanize ASY-77A onto an IgG4 backbone with a hinge point mutation to prevent Fab arm (half-molecule) exchange with other IgG4s in vivo, and assess leads for "developability" to mitigate potential downstream problems. Four vendors will be assessed for their capability to humanize the mouse Mab consistent with the characteristics to be achieved in Objective 2." In addition, the PDRC recommended modification of the wording of Goal 2, Objective 3 to state the following: "Finally, we will complete International Council for Harmonisation, toxicokinetics, pharmacokinetics, immunotoxicology, and photosafety studies to support filing an Investigation New Drug (IND) application."
- The PDRC recommended changes to aims/goals/objectives for Texas Magnetic Imaging Technology which include modification of the wording of Goal 1, Objective 1 to state the following: "Hire a Chief Development Officer or Senior domain-experienced engineer with commercial medical device experience, a product development program manager with experience bringing medical devices to market, and engineering teams for the project. Collect system requirements from representative potential users. Determine clinical functions to be achieved by the retrofit iMRI on the Varian LINAC. Determine targeted system specifications."

I will also note that at its January 13, 2020, 20.1 Due Diligence Meeting, the PDRC took "No Action" on one (1) application. This decision reflects the PDRC's need for additional information from the applicant (DP200034), prior to making a final award recommendation. Once the applicant provides the requested information, the PDRC will reconvene, evaluate the data and make a recommendation. We anticipate that we will provide our award recommendation, if any, regarding this pending application at either the May or August 2020 Oversight Committee meeting.

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

Sincerely,

/JG/
Jack Geltosky, PhD
Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations

FY 2020 Cycle 1

Rank	Application ID	Mechanism (Cycle)	Company Name	Project	Maximum Recommended Budget	Overall Score*
1	DP200033	SEED (20.1)	Asylia Therapeutics, Inc.	Development of a Novel Approach to Cancer Immunotherapy by Targeting Extracellular Tumor-derived HSP70 to Dendritic Cells	$3,000,000	2.9
2	DP200046	SEED (20.1)	Texas Magnetic Imaging Technology, Inc.	Integrated interior magnetic resonance imaging and medical linear accelerator system for radiation therapy	$2,997,384	3.0
3	DP200018	SEED (20.1)	Dialectic Therapeutics, Inc.	Developing a First-in-Class BCL-XL Proteolysis Targeting Chimera (BCL-PROTAC) for Cancer Therapy	$3,000,000	2.3
4	DP200056	SEED (20.1)	Barricade Therapeutics, Corp.	Development of a First-in-Class Small Molecule, TASIN, for Targeting Truncated APC Mutations for the Treatment of Colorectal Cancer (CRC)	$2,999,376	2.0
				Total	$11,996,760	

* average reviewer score from in-person peer review

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

February 14, 2020

Oversight Committee Members,

Pursuant to 25 T.A.C. § 703.7(j), I request that the Oversight Committee approve authority for CPRIT to advance grant funds upon execution of grant contracts for the four companies that the Oversight Committee will consider for product development grant awards at its February 19, 2020, meeting. The Program Integration Committee has recommended these companies for grant awards.

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

Advance payment of grant funds is necessary because the projects proposed for grant awards involve preclinical work and/or clinical trials. The cost structure for this type of work is highly front loaded and service providers require substantial upfront payments. Advancing grant funds allows these projects to begin work as quickly as possible.

Sincerely,

Wayne Roberts
CPRIT Chief Executive Officer

PO Box 12097 | Austin, Texas 78711 | PH: 512-463-3190 | F: 512-475-2563 | cprit.texas.gov

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit
Supporting Information

FY 2020—Cycle 1
Seed Awards for Product Development Research

Request for Applications

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS
RFA C-20.1-SEED

Seed Awards for Product Development Research

Please also refer to the Instructions for Applicants document, which will be posted on June 27, 2019

Application Receipt Opening Date: June 27, 2019

Application Receipt Closing Date: August 7, 2019

FY 2020

Fiscal Year Award Period

September 1, 2019 – August 31, 2020

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RFA VERSION HISTORY

Rev 5/16/2019 RFA release

1. KEY POINTS

This Seed Award for Product Development Research (Seed Award) mechanism is governed by the following guidelines:

- This new grant mechanism is open to company applicants to fund the development of therapeutics, devices, or tools designed to lessen the burden of cancer. The aim of the Seed Award is to narrow the funding gap (sometimes referred to as the "valley of death") between discovery and commercial development, with a focus on Texas-based oncology startups. All cancer-related sectors are eligible: therapeutics, diagnostics, devices, and tools. Products must diagnose cancer, treat cancer, or treat sequelae specific to cancer.
- In the case of therapeutics, Product Development Research award funding supports preclinical research that advances a project toward clinical evaluation. Examples of typical drug development activities that are eligible for funding by the Seed Award mechanism include target validation studies, lead optimization, confirmation of preliminary efficacy and safety findings in further preclinical tests, and demonstration of manufacturability.
- Recipient companies must currently be or commit to be Texas based (see section 8.1). If an applicant is not currently based in Texas, they must commit to relocating to Texas by meeting the Texas-based location criteria (see section 8.1) within 1 year of receiving the award. The Cancer Prevention and Research Institute of Texas (CPRIT) requires the use of Texas-based subcontractors and suppliers unless adequate justification is provided for the use of out-of-state entities.
- CPRIT requires recipient companies to raise a portion of the total project budget from external sources. For a company receiving an initial CPRIT award, CPRIT will contribute $2.00 for every $1.00 contributed in matching funds by the recipient company. CPRIT reserves the right to seek a higher matching funds contribution (ie, CPRIT will contribute $1.00 for every $1.00 contributed in matching funds by the company) from a company that has already received a CPRIT award and is approved for a second award. The demonstration of available matching funds must be made prior to the distribution of CPRIT grant funds, not at the time the application is submitted. CPRIT funds should,

whenever possible, be spent in Texas. A company's matching funds must be dedicated to the CPRIT-funded project but may be spent outside of Texas.

- Applicants may request up to $3.0 million in CPRIT funds. Please note that CPRIT receives many more applications each year than available funds can support. Therefore, only the most meritorious applicants are awarded.
- Funding will be tranched and tied to the achievement of contract-specified milestones.
- All award contracts include a revenue-sharing agreement. **A copy of the revenue-sharing agreement can be found at www.cprit.texas.gov in the Product Development Research Program section.** Other contract provisions are specified in CPRIT's Administrative Rules, which are also available at www.cprit.texas.gov.
- Applicant companies are limited to 1 submission per cycle across all CPRIT Product Development award mechanisms.

2. ABOUT CPRIT

The State of Texas established CPRIT, which may issue up to $3 billion in general obligation bonds to fund grants for cancer research and prevention.

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

- Create and expedite innovation in the area of cancer research and product or service development, thereby enhancing the potential for a medical or scientific breakthrough in the prevention, treatment, and possible cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Continue to develop and implement the Texas Cancer Plan by promoting the development and coordination of effective and efficient statewide public and private policies, programs, and services related to cancer and by encouraging cooperative, comprehensive, and complementary planning among the public, private, and volunteer sectors involved in cancer prevention, detection, treatment, and research.

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

2.1. Product Development Research Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Product Development Research Program's principles and priorities will also guide CPRIT staff and the Product Development Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

Established Principles:

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

Product Development Research Program Priorities
• Funding novel projects that offer therapeutic or diagnostic benefits not currently available; ie, disruptive technologies • Funding projects addressing large or challenging unmet medical needs • Investing in early-stage projects when private capital is least available • Stimulating commercialization of technologies developed at Texas institutions • Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff, to lead to seed clusters of life science expertise at various Texas locations • Providing appropriate return on Texas taxpayer investment

A full description of CPRIT's program priorities may be found at http://priorities.cprit.texas.gov/.

3. EXECUTIVE SUMMARY

CPRIT will foster cancer research as well as product and service development in Texas by providing financial support for a wide variety of projects relevant to cancer. This RFA solicits applications for the research and development of innovative products with potential to address critically important needs related to treatment, diagnosis, and/or prevention of cancer and the product development infrastructure needed to support these efforts. CPRIT encourages applicants who seek to apply or develop state-of-the-art products, services (eg, contract research organization services), technologies, tools, and/or resources for cancer research, prevention, or treatment. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure. To fulfill this vision, applications may address any topic or issue related to cancer treatment, prevention, detection or screening. The overall goal of this award program is to improve outcomes of patients with cancer by accelerating the development of groundbreaking therapeutics, diagnostics and tools with a primary focus on Texas-centric programs.

The ideal applicant will be a company that has developed compelling preclinical/discovery stage data around a novel target, compound, device, etc that warrants further development efforts to establish preclinical proof of concept (POC) on the road to commercialization. These data can arise from the following efforts: discovery and validation of a novel target specific to one or more defined tumor type(s); evidence that preclinical modulation of the target is associated with tumor cell killing or tumor growth inhibition (via both in vitro and in vivo studies if possible); discovery and preliminary biological characterization of an early lead compound, including a biological, or prototype device; establishment of a non GLP safety profile; definition of a potential therapeutic window; characterization of the synthetic route and manufacturing process; etc. In addition, it is important, when possible, to establish reproducibility in another laboratory. The Seed Award aims to provide the funding such that the company is positioned to begin IND/IDE enabling studies to support filing the IND/IDE (or equivalent).

4. MECHANISM OF SUPPORT

The Seed Award for Product Development Research is intended to support company formation, as well as early development of novel oncology therapeutics, devices or tools as described above. A further purpose of the Seed Award is to narrow the funding gap (sometimes referred to as the "valley of death") between discovery and commercial development, with a focus on Texas-based oncology startups.

Seed Award investments provide companies or limited partnerships located and headquartered in Texas with the opportunity to further the research and development of new products for the diagnosis, treatment, supportive care, or prevention of cancer; to establish infrastructure that is critical to the development of a robust industry; or to fill a treatment, industry, or research gap. This award is intended to support companies that will be staffed with a majority of Texas-based employees, including C-level executives.

5. OBJECTIVES

The long-term objective of this award is to support the development of commercially viable therapeutic and medical technology products, diagnostic- or treatment-oriented information technology products, diagnostics, tools, services, and infrastructure projects. Common to all applications under this RFA should be the intent to further the research and development of products that would eventually be marketed for the treatment, diagnosis, and/or prevention of cancer. Eligible products or services include—but are not limited to—therapeutics (eg, small molecules and biologics), diagnostics, medical devices, and potential breakthrough technologies, including software and research discovery techniques.

The objective of the Seed Award program is to start with an interesting technology and to progress it toward a commercially viable business opportunity, ie, make it more attractive to private funding agents. Typically, applicants have completed the following activities:

- Identified a novel therapeutic, diagnostic technology or clinical tool and shown a biological effect
- Replicated/verified the research in a second model and in a second lab
- Conducted preliminary safety and toxicology testing (in the case of therapeutic agents)
- Shown the product can be manufactured at small scale or as a prototype

- Assessed the business opportunity and organized a business plan that begins to address key issues (clinical utility, target market, financial plan, IP strategy, technical challenges, etc) and lays out a preliminary development plan (formulation, toxicology, scale up, IND-enabling studies, Phase 1 clinical trials, regulatory pathway, etc).
- Established key preclinical development milestones through IND submission.
- Initiated a patent application
- Established a company

CPRIT's objectives and program priorities are established by its Oversight Committee. Consistent with the above, these priorities include "funding projects at Texas companies and relocating companies that are most likely to bring important products to the market." A full description of CPRIT's program priorities may be found at http://priorities.cprit.texas.gov/.

6. FUNDING INFORMATION

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

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

For companies receiving an initial CPRIT award, CPRIT will award $2.00 for every $1.00 contributed in matching funds by the company. CPRIT reserves the right to seek a higher matching funds contribution, ie, CPRIT will contribute $1.00 for every $1.00 contributed in matching funds by the company, from a company that has already received a CPRIT award and

is approved for a second award. The demonstration of available matching funds must be made prior to the distribution of CPRIT funds, not at the time the application is submitted. The matching funds commitment may be fulfilled on a year-by-year basis.

7. KEY DATES

RFA release	May 16, 2019
Online application opens	June 27, 2019, 7 AM central time
Applications due	August 7, 2019, 4 PM central time
Invitations to present sent	October 2019
Notifications sent if not invited	October 2019
Presentations to CPRIT*	October 2019
Award Notification	February 2020
Anticipated Start Date	March 2020

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

8. ELIGIBILITY

8.1. Applicants

- Either for-profit or non-profit companies may apply. However, non-profit companies must intend to bring a product to market. Applications may be submitted prior to company formation, but company formation must be completed before award receipt. Applicants will be required to provide a data universal numbering system (DUNS) number before award receipt.
- Award recipients must be Texas-based. A company is considered to be Texas-based if it currently fulfills or commits to fulfilling a majority of the following criteria:

    1. The US headquarters are physically located in Texas.
    2. The Chief Executive Officer resides in Texas.

3. A majority of the company's personnel, including at least 2 other C-level employees (or equivalent) reside in Texas.
4. Manufacturing activities take place in Texas.
5. At least 90% of grant award funds are paid to individuals and entities in Texas, including salaries and personnel costs for employees and contractors.
6. At least 1 clinical trial site is in Texas.
7. The company collaborates with a medical research organization in Texas, including a public or private institution of higher education.

In exceptional circumstances, the applicant may propose 1 or more alternative location requirements, which the Oversight Committee may approve by a majority vote in an open meeting.

- Unless otherwise specified by the award contract, the company must fulfill all location requirements identified in the application within 1 year of receiving the initial disbursement of funds. Failure to maintain compliance with the location criteria will result in consequences ranging from suspension of grant funding to early termination of the grant contract and repayment of grant funds.
- All cancer-related sectors are eligible: therapeutics, diagnostics, devices, and tools. Project must diagnose cancer, treat cancer, or treat sequelae specific to cancer.
- CPRIT is releasing 3 Product Development RFAs in this funding cycle. Please note that in any given application round, applicants will typically only be allowed to apply for 1 Product Development Award (TXCO, RELCO, or Seed) at a time. Applicants are advised to review each RFA and select the program that best fits their development status.
- Only 1 coapplicant may be included on the application. For the Product Development Research Program, a coapplicant is an individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. If so designated by the applicant organization, coapplicants share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple applicants are named, each is responsible and accountable for the proper conduct of the project, program, or activity, including the submission of all required reports. The presence of more than 1 applicant

on an application or award diminishes neither the responsibility nor the accountability of any individual applicant.

- An applicant is eligible to receive a grant award only if the applicant certifies that the company, including the company representative, any senior member or key personnel listed on the application, or any company officer or director (or any person related to 1 or more of these individual 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 CPRIT funding if the company representative, any senior member or key personnel listed on the application, or any company officer or director is related to a CPRIT Oversight Committee member.
- The applicant must report whether the company, company representative, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. If the applicant or other individuals are ineligible to receive federal grant funds or have had a grant terminated for cause, the applicant may be contacted to provide more information.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although the applicant need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should familiarize themselves with these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in section 11 and section 12. All statutory provisions and relevant administrative rules can be found at www.cprit.texas.gov.

8.2. Resubmission Policy

- An application previously submitted to CPRIT within the last 2 years (ie, after June 29, 2017) but not funded may be resubmitted once and must follow all resubmission guidelines. It is expected that significant progress will have been made on the project; a

simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to submit an application with such modest changes.

- An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the applicant or company representative for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. An application that was administratively withdrawn by the applicant or by CPRIT prior to review by the review panel is not considered a submission for purposes of CPRIT's resubmission policy.
- CPRIT will consider a first-time Seed award application to be a new application for the purposes of the resubmission policy, even if the application was previously submitted for a TXCO or RELCO award within the past 2 years.
- Applicants who choose to resubmit should carefully consider the reasons provided by CPRIT reviewers for lack of prior success. Applications that received an overall numerical score of 5 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing previous critiques is advisable; however, it does not guarantee the success of the resubmission**. All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

9. APPLICATION REVIEW

9.1. Overview

Applications will be assessed based on evaluation of the quality of the research project and the potential to improve diagnosis, prevention or treatment outcomes in cancer patients. CPRIT requires the submission of a comprehensive development plan (see section 10.4.7) and a business

plan (see section 10.4.8). CPRIT review of applications will encompass the commercial viability, product feasibility, scientific merit, and the potential suggested by preclinical results so far, for therapeutic impact addressing unmet medical need. Applications will be reviewed by an integrated panel of individuals with expertise in biotechnology, basic/translational/clinical cancer research as well as in the regulatory approval processes for therapeutics, devices, and diagnostics. In addition, cancer patient advocates will participate in the review process.

Funding decisions are made via the review process described below.

9.2. Review Process

- **Product Development and Scientific Review:** Applications that pass initial administrative review are assigned to independent CPRIT Product Development Review Panel members for evaluation using the criteria listed below. Based on the initial evaluation and discussion by the Product Development Review Panel, a subset of applicants may be invited to deliver in-person presentations to the review panel.
- **Due Diligence Review:** Following the in-person presentations, a subset of applications judged to be most meritorious by the Product Development Review Panels will be referred for additional in-depth due diligence, including—but not limited to—IP, management team strength, regulatory aspects, manufacturability, preliminary preclinical safety and efficacy profiles, and proposals for further preclinical development that are intended to advance the project to the point where IND-enabling studies can be initiated. Please note that CPRIT may request to review any correspondence that an applicant has with regulatory agencies (eg, the FDA) as part of the diligence process. Following the due diligence review, applications may be recommended for funding by the CPRIT Product Development Review Council based on the information set forth in the due diligence and IP reviews, comparisons with applications from the Product Development Review Panels, and programmatic priorities.
- **Program Integration Committee Review:** Applications recommended by the Product Development Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities

set by the Oversight Committee, portfolio balance across programs, and available funding.

- **Oversight Committee Approval:** The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote.

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

9.2.1. Confidentiality of Review

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Product Development Peer Review Panel members and Product Development Review Council members are non-Texas residents.

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.

Any form of communication regarding any aspect of a pending application is prohibited between the applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, a Product Development Review Panel member, or a Product Development Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services.

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

9.3. Review Criteria

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

Attached to this RFA is a list of more detailed questions considered by CPRIT reviewers when assessing therapeutic applications (Appendix 1, "Reviewer Evaluation Guidelines for Therapeutics") and when assessing medical devices, diagnostics, and/or tools (Appendix 2, "Reviewer Evaluations Guidelines for Medical Devices and Diagnostics"). Applicants are encouraged to review these documents and, to the extent possible, address the questions within their application.

CPRIT recognizes that some, perhaps much of the preclinical characterization alluded to in previous sections in the context of Seed Award eligibility may not be available at this stage of development. We encourage applicants to be as thorough as possible in describing their current stage of development.

9.3.1. Primary Criteria

The objective of a Seed Award is to fund the work necessary to advance the project to the point where IND enabling studies can be initiated, or, in the case of diagnostics/tools, to complete appropriate prototyping and validation work and position the company to raise private capital. As an example, in the case of drug candidates, specific technical activities the Seed Award mechanism can fund may include the following:

- Performing target validation

- Conducting lead optimization
- Performing target and cellular potency studies
- Developing and validating biomarker/pharmacodynamic marker assays
- Determining pharmacokinetic and exposure parameters; determining whether concentrations that result in significant cell death or tumor growth inhibition in vitro can be safely achieved in vivo; establishing in vivo pharmacodynamic proof of concept
- Evaluating biopharmaceutical properties (absorption/bioavailability, distribution, metabolism and clearance in rodents and nonrodents)
- Optimizing synthetic/bioengineering route
- Developing a prototype clinical formulation
- Expanding preclinical safety characterization in non GLP studies
- Expanding in vivo preclinical efficacy characterization in tumor models, including where feasible, patient-derived xenograft models, that most closely approximate the initial target indication

Seed Awards may be used to carry out comparable activities for other classes of applications such as medical devices or diagnostics.

Specific business activities the Seed Award mechanism can fund may include the following:

- Competitive analysis
- Extent of unmet need
- Target Product Profile
- Description of development plans including integrated project milestones
- Preparation of clinical development plan
- IP development plans

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

The criteria provided below are designed to provide an **overview** of topics that may be pertinent to the assessment of applications during peer review. Specific criteria applied to evaluate a given application will depend on the type of product described by the applicant, eg, therapeutic versus

medical device. **Detailed descriptions of the specific criteria employed for different product classes are provided in the appendices to this RFA.**

Primary review criteria are heavily weighted in determining the quality of an application. Reviewers provide numerical scores for these topic areas when evaluating applications. Primary criteria are intended to address the following topics:

- Significance and Impact
- Unmet Medical Need
- Product Validation/Proof of Concept
- Safety
- Preclinical Strength/Development to Date
- Development Plan
- Competitive Landscape
- Intellectual Property
- Business/Commercial Aspects
- Management and Staffing
- Production/Manufacturing Plan
- Overview of Clinical/Regulatory Plan

More details regarding these topics can be found in the appendices to this document.

9.3.2. Secondary Criteria

Secondary review criteria contribute to the global score assigned to the application and are not assigned individual numerical scores. Concerns with these criteria potentially question the feasibility of the proposed research and development activities.

Secondary criteria include the following:

- Budget and Duration of Support

Please see appendices for more details.

10. SUBMISSION GUIDELINES

Applicants are advised to review carefully all instructions in this section to ensure the accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available on June 27, 2019. Applications that are missing 1 or more components, exceed the specified page or word limits, or that do not meet the eligibility requirements listed above will be administratively withdrawn without review.

10.1. Online Application Receipt System and Application Submission Deadline

Applications must be submitted via the CPRIT Application Receipt System (CARS) (https://CPRITGrants.org). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The applicant must create a user account in the system to start and submit an application. The coapplicant, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (ASO) (an individual authorized to sign and submit an application on behalf of the applicant) must also create a user account in CARS. An application may not be submitted without ASO approval. Only the ASO is authorized to officially submit the application to CPRIT. It is acceptable (and not uncommon) for the applicant to also serve as the designated ASO. However, if the applicant intends to also serve as the ASO, the system requires that the applicant and the ASO have 2 different accounts and user names. Applications will be accepted beginning at 7 AM central time on June 27, 2019, and must be submitted by 4 PM central time on August 7, 2019. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

10.2. Submission Deadline Extensions

The submission deadline may be extended upon a showing of good cause. Late submissions are permitted only in exceptional instances, usually for technology failures in the CARS. It is imperative that applicants allow sufficient time to familiarize themselves with the application format and instructions to avoid unexpected issues. The applicant's failure to adequately plan is not sufficient grounds to justify approval of a late submission.

Peer review schedules are set far in advance and do not accommodate receipt of an application days after the deadline. Therefore, potential applicants that are unable to meet the deadline due to issues such as travel, sabbaticals, conferences, prolonged illness or other leave, etc, should not request additional time to submit an application but should instead consider submitting the application in the next review cycle.

A request to extend the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

10.3. Product Development Review Fee

All applicants must submit a nonrefundable fee of $500 for review of Product Development Research Seed applications. Payment should be made by check or money order payable to Cancer Prevention and Research Institute of Texas; electronic and credit card payments are not acceptable. The application ID and the name of the submitter must be indicated on the payment. Unless a request to submit a late fee has been approved by CPRIT, all payments must be postmarked by the application submission deadline and mailed as described below.

Checks may be mailed via the US Postal Service to the following address:

Cancer Prevention and Research Institute of Texas
PO Box 12097
Austin, Texas 78711

Contact name: Michelle Huddleston
Phone 1-512-305-8420

Mail sent via a delivery services (ie, FedEx, UPS, etc) will need to use this address:

Cancer Prevention and Research Institute of Texas
Wm B Travis State Office Building
1701 N Congress Ave Ste 6-127
Austin, Texas 78701

Contact name: Michelle Huddleston
Phone 1-512-305-8420

10.4. Application Components

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

Please note that letters of commitment and/or memoranda of understanding from community organizations, key faculty, etc, are **not** required or requested. Please do not submit letters of support as part of your application package. **Any such information will be removed from your application before review**.

10.4.1. Layperson's Summary (1,500-character maximum)

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

10.4.2. Slide Presentation (10-page maximum)

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

10.4.3. Abstract and Significance (5,000-character maximum)

Coherently explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Describe the unmet medical need addressed by the proposed project and describe how the proposed project, if successful, will have a major impact on the care of patients with cancer. Describe how this application provides a path for acquiring proof-of-principle data necessary for next-stage commercial development. Clearly explain the product, service, technology, or infrastructure proposed; competition; market need and size; development or implementation plans; regulatory path; reimbursement strategy; and funding needs. Applicants must clearly describe the existing or proposed company infrastructure and personnel located in Texas for this endeavor.

10.4.4. Goals and Objectives (maximum of 1,200 characters each)

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success if the award is made. Identify time-specific references as follows: Year 1, Quarter 1 (Y1Q1), Y1Q2, etc. Do not specify actual calendar dates as this can be confusing when dates change.

10.4.5. Timeline (1-page maximum)

Provide a visual depiction of anticipated major milestones to be tracked in the form of a Gantt chart. Identify time-specific references as follows: Y1Q1, Y1Q2, etc, as opposed to naming specific months and years. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. When appropriate, provide go/no-go decision points along the timeline. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

10.4.6. Resubmission Summary (1-page maximum)

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

10.4.7. Development Plan (12-page maximum)

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

The development plan should include a defined **target product profile (TPP)** or analogous document for a medical device, in vitro diagnostic, or service that projects a clear path to full commercialization (see http://www.fda.gov/downloads/drugs/guidancecomplianceregulatoryinformation/guidances/ucm080593.pdf). The TPP provides a statement of the *overall intent* of the product development program and gives information about the product *at a particular time* in development. Usually, the TPP is organized according to the key sections in the product package insert for a drug or biologic (but not medical device or diagnostic labeling, which must be developed by the applicant in an analogous fashion) and links development activities to specific concepts intended for inclusion in the product labeling. CPRIT recognizes that many applications are early in the development process and that not all elements of the TPP will be known at the time of application. Consequently, not only does the TPP serve as a snapshot in time of the development status of the program, but it additionally serves as an aspirational target upon eventual

commercialization. The TPP should include the parameters below; the questions are intended to guide the thinking process and may include, but are not limited to, the examples provided.

- Identification of a target that is applicable to human cancer treatment. Is intervention with this target likely to lead to a therapeutic, medical device, diagnostic, or service that could be useful in the treatment or prevention of cancer?
- Selection of a lead compound, assay, or device technology based on the target. Is the identification of potential developmental candidates based on a set of in vitro tests followed by selection of a lead candidate based on considerations (as appropriate for the candidate) of pharmacodynamic parameters and the results of preclinical, in vivo, proof-of-principle studies in relevant animal models of disease?
- Description of a high-level clinical development plan detailing each of the clinical studies supporting marketing approval (phase 1, 2, and 3) the preclinical work is meant to support. Designing the preclinical program requires an understanding of the duration of the clinical studies required by regulatory authorities. Consequently, a brief outline of each of the phase 1, phase 2, and phase 3 studies necessary to obtain regulatory approval and reimbursement funding must be sketched out prior to deciding which toxicology studies would be required.

Applicants developing cancer therapeutics are encouraged to become familiar with FDA guidance documents for submission of applications related to new product development. These documents provide a standard framework for new drug submissions and biologic license applications to the FDA. Utilizing this framework helps ensure that the submission to CPRIT contains all relevant elements and is optimally organized.

Additionally, for therapeutics, the following apply:

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

- Indication of the threshold of both the safety and efficacy necessary to be a competitive product when the product is introduced
- Absorption, distribution, metabolism, excretion, including, but not limited to, relevant studies based on route of administration
- Safety (studies as mandated by ICH guidelines)

- Biomarkers (assays) that potentially target specific patient populations for clinical trials
- Biomarkers (assays) that can serve as potential pharmacodynamic markers of clinical activity during early clinical trials designed to demonstrate proof of concept
- Proposed current good manufacturing practice (including estimated costs) that can be scalable from phase 1 through phase 2. Include information on whether there are plans for possible formulation.

References for the Development Plan section should be provided as a stand-alone document that will be separately uploaded into CARS. In the interests of brevity include only the most pertinent and current literature. While references will not count toward the Development Plan section page limit, it is essential to be concise and to select only those references relevant to the development plan. **Do not use the references to circumvent Development Plan section page limits by including data analysis or other nonbibliographic material.**

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

CPRIT recognizes much, if not most, of this information is not available at this stage of development. However, we encourage applicants to be as complete as possible in describing their current stage of development. Applicants developing diagnostics, devices or cancer-specific services should provide analogous information relevant to their product and project.

10.4.8. Business Plan

CPRIT can only provide a portion of the funds required to successfully develop a novel product or service. Companies typically need to raise substantial funds from private sources to fully fund development. Hence, we require companies to provide a business plan that summarizes the rationale for investing in this project. Private investors will seek a financial return on their investment. They will need to be convinced that this project has high investment return potential based on its risk profile. They typically focus on market opportunity size, development path, and key risk issues.

Successful applicants will provide a thoughtful, careful, and succinct rationale explaining why this program is an appropriate investment of CPRIT and private funds. Note that if the company is selected to undergo due diligence, additional information to support the application will be requested at that time. Award applicants will be evaluated based not only on the current status of the components of the business plan but also on whether current weaknesses and gaps are acknowledged and whether plans to address them are outlined.

Please provide an overview of the business rationale for investing in this project. The business rationale overview will be 2 pages maximum. In addition, please provide summaries of the following key development issues with a maximum of 1 page each.

1. **Product and Market:** Provide an overview of the envisioned product and how the product will be administered to patients. Describe the initial market that will be targeted and how the envisioned product will fit within the standard of care, ie, primary therapy, second-line therapy, adjunctive to current therapies, etc. Information on patient populations and market segments is helpful.
2. **Competition and Value Proposition:** Provide an overview of the competitive environment (current and future) and how the envisioned product will compete in the marketplace.
3. **Clinical and Regulatory Plans:** Provide an overview of plans for clinical activities and the regulatory pathway for major markets. Please describe how this is driven by interactions with the FDA, if possible. The regulatory plan should include regulatory communications (including all interactions to date with the FDA) and strategy, with clarity provided on regulatory matters and current regulatory strategies.
4. **Commercial Strategy:** Provide an overview of your anticipated commercial market with a brief assessment of current competition.
5. **Risk Analysis:** Describe the specific risks inherent to the product plan and how they would be mitigated. Key risk issues typically include efficacy versus competitors, toxicity, clinical trials, FDA approval, dosage and delivery, CMC synthesis, changing competitive environment, etc.

6. **Funding to Date:** Provide an overview of the funding received, including a list of funding sources and a comprehensive capitalization table that should comprise all parties who have investments, stock, or rights in the company. A template exemplifying an appropriate capitalization table is provided among the application materials. The identities of all parties must be listed. It is not appropriate to list any funding source as anonymous.
7. **Intellectual Property:** Provide a concise discussion of the IP issues related to the project. List any relevant issued patents and patent applications. Please include the titles and dates the patents were issued/filed/published. List any licensing agreements that the company has signed that are relevant to this application.
8. **Key Personnel Located in Texas and Any Key Management Located Outside of Texas:** For each member of the senior management and scientific team, provide a paragraph briefly summarizing his or her present title and position, prior industry experience, education, and any other information considered essential for evaluation of qualifications. Key personnel are the Principal Investigator/Project Director as well as other individuals who contribute to the development or the execution of the project in a substantive, measurable way. *Substantive* means they have a critical role in the overall success of the project and that their absence from the project would have a significant impact on executing the approved scope of the project. *Measurable* means that they devote a specified percentage of time to the project. The indicated time is an obligatory commitment, regardless of whether or not they request salaries or compensation. "Zero percent" effort or "TBD" or "as needed" are not acceptable levels of involvement for those designated as key personnel. While all participants that meet these criteria should be identified as "key," it is expected that the number of key personnel will be kept to a minimum.

The entire Business Plan section shall typically comprise a maximum of 10 pages: a 2-page overview and eight, 1-page key issue summaries. <u>Please avoid redundancy</u>. Note that the section "Funding to Date" above may exceed this 1-page limit <u>if necessary</u>.

CPRIT recognizes much of this information is not available at this stage of development. However, we encourage applicants to be as complete as possible in describing their current stage of development.

10.4.9. Biographical Sketches of Key Scientific Personnel (8-page maximum)

Provide a biographical sketch for up to 4 key scientific personnel that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 2 pages. You may use the "Product Development Research Programs: Biographical Sketch" template but are not required to do so. (In addition, information on the members of the senior management and scientific team should be included in the "Key Personnel" section of the Business Plan [see section 10.4.8]).

10.4.10. Relocation Commitment to Texas (1-page maximum)

If the applicant is not currently Texas-based, provide a timetable with key dates indicating the applicant's plan and commitment to relocate the company to Texas. In addition, describe which personnel and management will be headquartered in Texas.

10.4.11. Budget

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

- Each award mechanism allows for up to a 3-year funding program with an opportunity for extension after the term expires. **The budget must be aligned with the proposed milestones.** Financial support will be awarded based upon the breadth and nature of the project proposed. Requested funds must be well justified. Funding will be tranched and milestone driven.
- CPRIT considers equipment to be items having a useful life of more than 1 year and an acquisition cost of $5,000 or more per unit. If awarded, management of your grant will be facilitated if specific equipment is clearly identified in the application using plain language. **Equipment not listed in the applicant's budget must be specifically approved by CPRIT subsequent to the award contract**.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding

indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov.

- The total amount of CPRIT funds allowed for an annual salary of an individual for FY 2020 is $200,000. In other words, an individual may request salary proportional to the percentage effort up to a maximum of $200,000. Salary amounts in excess of this limit must be paid from matching funds. Salary does not include fringe benefits. CPRIT FY 2020 is from September 1, 2019, through August 31, 2020.

  Additionally, adjustments of up to a 3% increase in annual salary are permitted for Years 2 and 3 up to the cap of $200,000. The salary cap may be revised at CPRIT's discretion.

The Budget section is composed of 4 subtabs that must be completed:

A. **Budget for All Project Personnel:** Provide the name, role, appointment type, percent effort, salary requested, and fringe benefits for all personnel participating on this project. If funding is requested for a role that is not currently occupied, applicant should note "new hire" as name.

B. **Detailed Budget for Year 1:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs in the first year of the project. Direct cost categories include Travel, Equipment, Supplies, Consultant Charges, Contractual (Subaward/Consortium), Research Related, or Other. Applicants will be required to itemize costs.

C. **Budget for Entire Proposed Period of Performance:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs for all subsequent years. Amounts for *Budget Year 1* will be automatically populated based on the information provided on the previous subtabs; namely, *Budget for All Project Personnel* and *Detailed Budget for Year 1*.

D. **Budget Justification:** Please specify your CPRIT-requested funds and other amounts that will comprise the total budget for the project, including the use of matching funds. Please specify each line item from your CPRIT budget as well as other funds (including matching funds). Provide a compelling justification for the budget for each line item of

the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. **If travel costs will include out-of-state or international travel, make that clear here.** The budget must be aligned with the proposed milestones.

11. AWARD ADMINISTRATION

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

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and IP 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 to 703.12.

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

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

Project Revenue Sharing: Recipients should also be aware that the funding award contract will include a revenue-sharing agreement, which can be found at www.cprit.texas.gov and will require CPRIT to have input on any future patents, agreements, or other financial arrangements related to the products, services, or infrastructure supported by the CPRIT investment. These contract provisions are specified in CPRIT's Administrative Rules, which are available at www.cprit.texas.gov.

12. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient demonstrate that it has appropriate matching funds. For companies receiving an initial CPRIT award, the company must contribute $1.00 in matching funds for every $2.00 awarded by CPRIT. CPRIT reserves the right to seek a higher matching funds contribution, ie, the company will contribute $1.00 in matching funds for every $1.00 awarded by CPRIT, from a company that has already received a CPRIT award and is approved for a second award. Matching funds need not be in hand when the application is submitted, nor does the entire amount of matching funds for the full 3 years of the project need to be available at the start of the grant. However, the appropriate amount of matching funds for each specific tranche must be obtained before each tranche of CPRIT funds will be released for use. CPRIT funds must, whenever possible, be spent in Texas. A company's matching funds must be targeted for the CPRIT-funded project but may be spent outside of Texas. Grant applicants are advised to consult CPRIT's Administrative Rules, chapter 703, section 703.11, for specific requirements associated with the requirement to demonstrate available funds.

13. CONTACT INFORMATION

13.1. Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding scientific and product development aspects of applications. **Before contacting the helpdesk, please refer to the *Instructions for Applicants* document, which provides a step-by-step guide on using CARS. In addition, for Frequently Asked Programmatic Questions, please go here and for Frequently Asked Technical Questions, please go here.**

Hours of operation:	Monday through Friday, 8 AM to 6 PM central time
Tel:	866-941-7146 (toll free in the United States only—international applicants should use the email address below)
Email:	Help@CPRITGrants.org

13.2. Programmatic Questions

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

Tel:	512-305-7676
Email:	Help@CPRITGrants.org
Website:	**www.cprit.texas.gov**

14. APPENDIX

14.1. Reviewer Evaluation Guidelines for Therapeutics

Primary Review Criteria (Scored)

The following criteria will be used by the Reviewer Panel to assess and score applications. Due to the early-stage nature of Seed projects, CPRIT reviewers are aware that not all criteria listed below will be relevant to a particular Seed application, as some development milestones will remain to be completed.

Unmet medical need: Target Product Profile (TPP)

- Assuming successful accomplishment of development objectives, as reflected in the target product profile, will the intended product significantly address an unmet medical need in the diagnosis, treatment (including supportive care), prognosis, or prevention of cancer?
- In terms of incidence/prevalence of the patient populations or subpopulations intended to be targeted by the development of this product, what is the extent of the unmet need?

Target Validation

- If this is a "targeted" agent, to what extent has the target been validated, eg, through knockdown studies and/or pharmacological intervention?
- Has engagement of the target with the agent been demonstrated by biochemical assay? What is the potency of the agent?
- Are there validated downstream pharmacodynamic (PD) markers of target modulation? How extensive is the in vitro evidence for expected PD effects? Has the agent shown biologically significant modulation of the target in vivo, especially in tumor tissue?
- Is the target uniquely or substantially overexpressed by tumor versus normal cells?
- Does the target represent an activating mutation? If so, has binding of the agent to the target and other activating mutations been characterized?
- Has the company's demonstration of target validation been externally/independently confirmed?

- Are there known mechanisms of resistance to the modulation of this target? If so, has the company proposed possible mitigation/preemptive approaches, such as combination therapies?

Preclinical Characterization: Pharmacodynamic Proof of Concept

- Considering in vivo preclinical pharmacodynamic characterization and the patient populations or subpopulation(s) representing the initial clinical indication(s) for the drug, what is the clinical relevance of the preclinical models? To elaborate, were in vivo/xenograft studies carried out in cell line–based models or PDX-derived models? In how many such models have studies been carried out? To what extent do these models reflect standard of care (SOC) for refractory versus drug-naive tumors? At the time of treatment initiation, were tumors established and measurable, or was treatment initiated shortly after tumor inoculation?
- Was antitumor activity predominantly growth inhibition or tumor regression? Were sustained complete remissions or "cures" achieved in the majority of animals and models? Were comparisons with optimally dosed SOC agents made? Where the agent is intended to be added to the SOC, is there compelling evidence of in vitro/in vivo synergy with SOC agents?
- Have results of preclinical pharmacodynamic studies carried out by the company been externally/independently confirmed?
- Overall, considering clinical relevance and study results, how strong is the preclinical efficacy profile of the agent?
- How strongly does the preclinical pharmacodynamic profile support the clinical efficacy expectations reflected in the TPP?

Preclinical Characterization: Safety

- How extensive is the in vitro and in vivo preclinical safety characterization carried out so far?
- Considering potency and target selectivity, what is the potential both for off-target and pharmacologically on-target deleterious effects?

- Overall, are results of safety characterization carried out so far such that the agent can be considered reasonably de-risked from a safety perspective, or are there red flags? Alternatively, is the extent of preclinical safety characterization carried out so far insufficient to address this question?

Pharmaceutical Properties/Chemistry and Pharmacy

- In the case of agents intended for oral absorption, are there any issues with water solubility? Do formulation studies indicate the feasibility of oral administration?
- Were Lipinski-type criteria applied during the lead optimization process such that the lead compound has demonstrated properties that make it likely to be an orally active drug in humans?
- Have stability studies been initiated?
- Is there scope for further lead optimization through structure-activity studies?
- In the case of biologicals, have efforts to develop a high-quality cell line been initiated? Any data on yields and scalability?
- Have analytical method development been initiated?
- Have studies to characterize the (lead) protein begun? Any stability data?

Development Plan/Regulatory Aspects

- At a high level, are development proposals scientifically rational and sufficiently comprehensive considering development efforts and results to date?
- Does the applicant demonstrate adequate familiarity with pertaining regulatory guidelines in major jurisdictions (United States/European Union)? Do development proposals reflect specific regulatory authority input; eg, from pre-IND interactions?
- Considering target indication prevalence, will the agent qualify for orphan drug designation? If so, does the applicant intend to apply for this?
- Will the proposed programs advance development of the agent to commercially significant milestone(s), such as might attract either partner interest or the raising of further development funding?
- Are development milestones clear and adequately described? Is the overall project timeline realistic?

Competitive Analysis

- Has the applicant identified likely competitive products on the market and in development?

Intellectual Property/Freedom to Operate

- Considering patent type (Composition of Matter/Formulation/Manufacturing Process/Use) and duration of patent life, how strong is the IP?
- Are there opportunities for meaningful patent life extension?
- Has the applicant secured appropriate licenses conferring freedom to operate?

Chemistry, Manufacturing, and Controls (CMC)

- How advanced is CMC and manufacturing development?
- Are there any sourcing issues?
- Has the applicant demonstrated the likelihood that the product can be manufactured at commercial scale and with a reasonable cost of goods?
- Do any members of the company have this expertise, or are outside consultants being exclusively relied upon?

Business/Commercial Aspects

- Does the applicant need to raise further funds for the CPRIT matching requirement? In this case, how realistic are the applicant's assumptions about a successful fund-raising campaign? Does the applicant have a track record of success in raising development funding?

Management Team

- Does the management team have the appropriate level of experience and track record of relevant accomplishments to execute the development and commercialization strategy?
- Does the company have experienced and appropriately accomplished in-house personnel in such key areas as translational research, clinical development, regulatory affairs, and CMC/manufacturing? If not, are there plans to address such deficiencies?

- Has the applicant demonstrated appropriate engagement of outside development expertise through, for example, a scientific advisory board, individual consultantships, and regulatory authority interactions?

Secondary Review Criteria (Unscored)

Budget and Duration of Support

- Are the budget and duration of support appropriate for the program of studies described in the application?
- Is there sufficient clarity in the budget proposal as to how funds will be expended?
- Is there sufficient clarity in the budget proposal as to the spending of funds in Texas?
- Do plans reflect a substantial commitment to Texas? Is it clear that no CPRIT funds will be sent out of Texas to a corporate headquarters?

14.2. Reviewer Evaluation Guidelines for Medical Devices and Diagnostics

Primary Review Criteria (Scored)

The following criteria will be used by the Reviewer Panel to assess and score applications. Due to the early-stage nature of Seed projects, CPRIT reviewers are aware that not all criteria listed below will be relevant to a particular Seed application, as some development milestones will remain to be completed.

Unmet medical need

- Assuming successful accomplishment of development objectives, will the intended product significantly address an unmet medical need in the diagnosis, treatment (including supportive care), prognosis, or prevention of cancer?
- In terms of incidence/prevalence of the patient populations or subpopulations intended to be targeted by the development of this product, what is the extent of the unmet need?

Product Validation

- Technical Validation: Has the product or technology been successfully validated, ie, prototyped, built and tested in ex vivo, animal, or clinical setting?
- Have biological proof of principle and product mechanism of action been demonstrated?
- Have efficacy and safety in an accepted in vitro or animal model been demonstrated?
- Clinical Validation: Are clinical trials required to demonstrate product performance? If so, have they been planned?
- Biological Risk: What are the risks to the patients, eg, toxicology, biological, interactions with other therapies?

Production/Manufacturing

- Has the applicant demonstrated the likelihood that the product can be manufactured at commercial scale and with a reasonable cost of goods?
- How advanced is manufacturing development?
- Are there any sourcing issues?

Intellectual Property/Freedom to Operate

- Have barriers to entry been identified? Has a route to patentability been mapped out, eg, independent patent, first-mover advantage, unique knowhow, etc?
- Considering patent type (Composition of Matter/Formulation/Manufacturing Process/Use), and duration of patent life, how strong is the IP?
- Are there opportunities for meaningful patent life extension?
- Has applicant secured appropriate licenses conferring freedom to operate, if required?

Market Opportunity

- Does product address a clearly defined unmet need; lack of available therapy, poor efficacy, side effects, lack of available diagnostic, safety problems, cost reduction, enhanced convenience?
- Are target indication and market clearly defined?
- Does the company understand the clinical pathway that leads to utilizing the product?
- How does product fit with existing "ecosystem"; ie, are the benefits provided worth the time and cost of implementing the new approach?

Competition

- Is this a "Whole Product," ie, a complete product or service sold to a defined customer that provides a defined value proposition?
- Has the applicant identified likely competitive products on the market and in development?

Development Plan/Regulatory Aspects

- At a high level, are development proposals scientifically rational and sufficiently comprehensive considering development efforts and results to date?
- Has determination of FDA-defined device classification been completed? Is the clinical and regulatory pathway well understood and feasible?

Management Team

- Does the management team have the appropriate level of experience and track record of relevant accomplishments to execute the development and commercialization strategy?

- Does the company have experienced and appropriately accomplished in-house personnel in such key areas as product engineering, clinical development, regulatory affairs, manufacturing, etc? If not, are there plans to address such deficiencies?
- Has applicant demonstrated appropriate engagement of outside development expertise through, eg, a scientific advisory board, individual consultantships, and regulatory authority interactions?

Business/Commercial Aspects

- Does the applicant need to raise further funds for the CPRIT matching requirement? In this case, how realistic are assumptions about a successful fundraising campaign? Does the applicant have a track record of success in raising development funding?
- Has the company anticipated pricing strategy and reimbursement environment?

Secondary Review Criteria (Unscored)

Budget and Duration of Support

- Are the budget and duration of support appropriate for the program of studies described in the application?
- Is there sufficient clarity in the budget proposal as to how funds will be expended?
- Is there sufficient clarity in the budget proposal as to the spending of funds in Texas?
- Do plans reflect a substantial commitment to Texas? Does the applicant demonstrate an understanding of the Texas spending requirement for CPRIT funds?

Third Party Observer Reports

Cancer Prevention and Research Institute of Texas (CPRIT) 20.1 Product Development Research Product Development Panel - 1 Meeting (PDR_PDP_20.1) Observation Report

Report No.	2019-09-24 PDR_PDP-1_20.1
Program Name:	Product Development Research
Panel Name:	20.1 Product Development Research Product Development Panel - 1 Meeting (PDR_PDP-1_20.1)
Panel Date:	09-24-2019
Report Date:	09-30-2019

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 20.1 Product Development Research Product Development Panel - 1 Meeting (PDR_PDP-1_20.1). The meeting was chaired by David Shoemaker and conducted via teleconference on September 24, 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

One (1) BFS independent observer(s) 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: Fifteen (15) applications were discussed and five (5) were not discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and two (2) advocate 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: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were four (4) 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,

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) 20.1 Product Development Research Product Development Panel - 2 Meeting (PDR_PDP_20.1) Observation Report

Report No.	2019-09-25 PDR_PDP-2_20.1
Program Name:	Product Development Research
Panel Name:	20.1 Product Development Research Product Development Panel - 2 Meeting (PDR_PDP-2_20.1)
Panel Date:	09-25-2019
Report Date:	09-30-2019

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 20.1 Product Development Research Product Development Panel - 2 Meeting (PDR_PDP-2_20.1). The meeting was chaired by Jack Geltosky and conducted via teleconference on September 25, 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

One (1) BFS independent observer(s) 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: Fourteen (14) applications were discussed and six (6) were not discussed
- Panelists: One (1) panel chair, twelve (12) expert reviewers and two (2) advocate 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: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were twelve (12) 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,

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) 20.1 Product Development Research Product Development Panel - 1 (20.1_PDP_PDP-1) Observation Report

Report No.	2019-10-23 20.1_PDR_PDP-1
Program Name:	Product Development Research
Panel Name:	20.1 Product Development Research Product Development Panel - 1 (20.1_PDP_PDP-1)
Panel Date:	10-22 and 10-23-2019
Report Date:	11-01-2019

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 20.1 Product Development Research Product Development Panel - 1 (20.1_PDP_PDP-1) meeting. The meeting was chaired by David Shoemaker and conducted in-person on October 22 and October 23, 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

One (1) BFS independent observer 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: Eight (8) applications were discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and one (1) advocate reviewer
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role on October 22, 2019; and five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role on October 23, 2019
- 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 meetings.

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,

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) 20.1 Product Development Research Product Development Panel - 2 (20.1_PDR_PDP-2) Observation Report

Report No.	2019-10-25 20.1_PDR_PDP - 2
Program Name:	Product Development Research
Panel Name:	20.1 Product Development Research Product Development Panel - 2 (20.1_PDR_PDP-2)
Panel Date:	10-24 and 10-25-2019
Report Date:	11-13-2019

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 20.1 Product Development Research Product Development Panel - 2 (20.1_PDR_PDP-2) meeting. The meeting was chaired by Jack Geltosky and conducted in-person on October 24 and October 25, 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 observer 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: Eight (8) applications were discussed
- Panelists: One (1) panel chair, eleven (11) expert reviewers and two (2) advocate reviewers on day 1 and one (1) panel chair, ten (10) expert reviewers and two (2) advocate reviewers on day 2
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role on day 1 and Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role on day 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 eight (8) COIs identified prior to and/or during the meeting. An appearance of a COI was discovered after the discussion of application DP200005. A husband and wife, who are both Venture Partners in the same firm were on the PDP Panel 2 as expert reviewers. Both parties were excluded from the teleconference which brought the application forward. However, only the husband was excluded from the in-person meeting as the wife was deemed not to have a conflict. The husband panelist with a COI who exited for DP200005 returned prior to the conclusion of the meeting. The meeting was immediately stopped, and the panelist asked to leave. Upon exit of the panelist the meeting continued. As panelists exited for break the COI panelist entered and began a discussion with his wife which appeared to concern application DP200005 as both proceeded to the exit. The third-party observer immediately notified CPRIT Program Staff of the incident. The COI panelist and his wife's discussion was deemed by CPRIT to concern a personal matter. Both parties were asked to exit as COIs for the remaining COIs for which one or the other had a conflict. Remaining COIs were excluded from discussions concerning applications for which there was a conflict.

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,

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)
20.1 Product Development Review-Due Diligence Panel
(PDR_DD_20.1)
Observation Report

Report No.	2020-01-13 PDR_DD_20.1
Program Name:	Product Development Research
Panel Name:	20.1 Product Development Due Diligence Panel (PDR_DD_20.1)
Panel Date:	01-13-2020
Report Date:	01-15-2020

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 20.1 Product Development Due Diligence Panel (PDR_DD_20.1). The meeting was chaired by Jack Geltosky and was conducted via teleconference on January 13, 2020.

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 observer(s) 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: Fourteen (14) expert reviewers
- ICON employees: Five (5)
- IP Attorneys: Two (2)
- 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: Three (3)
- 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,

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

CPRIT Product Development Research Cycle 20.1 Applications

Product Development Research Cycle 20.1 Applications Announced at the February 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Research Cycle 20.1 include *Seed Awards for Product Development Research, Company Relocation Product Development Awards; and Texas Company Product Development Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Organization/Company	Conflict Noted
Applications considered by the PIC and Oversight Committee			
DP200056	Neil Thapar	Barricade Therapeutics, Corp.	Diane Amy Trainor;George. Trainor;Leila Alland
Applications not considered by the PIC or Oversight Committee			
DP200023	Sohail Syed	Theracle, Inc.	Bo Saxberg
DP200059	Cohava Gelber	Stromatis Pharma, LLC	Bo Saxberg;Marcia Moore;Neil Spector
DP200005	Upendra Marathi	7 Hills Pharma LLC	George Trainor; Leila. Alland
DP200016	Alex Stojanovic	Oncolyze, Inc.	Yueming Li
DP200021	Stephan Morris	Ohm Oncology Inc.	Yueming Li
DP200026	Judith Leopold	Mekanistic Therapeutics	Judith Fox;Leila Alland
DP200037	Leah DiMascio	DGD Pharmaceuticals, Corp.	Diane Amy Trainor; George. Trainor; Leila Alland
DP200049	Eric Zhang	AKSO Biopharmaceutical, Inc.	Leila Alland

T.A.C. Section 702.19 Waiver

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS

FROM: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER

SUBJECT: T.A.C. § 702.19 WAIVER FOR THE CPRIT PRODUCT DEVELOPMENT REVIEW COUNCIL

DATE: NOVEMBER 18, 2019

This is to notify the Oversight Committee that I have granted a waiver from the general prohibition against communicating directly with grant applicants to the members of the Product Development Review Council (PDRC) pursuant to the authority provided in T.A.C. § 702.19(e). The waiver is effective for the following individuals in review cycle 20.1: Jack Geltosky, David Shoemaker, Colin Turnbull, Roy Cosan, Neil Spector, Kelly Bolton, and Bo Saxberg, and limited to communications with applicants currently undergoing due diligence as described in this notice. No Oversight Committee action related to this waiver is necessary.

CPRIT administrative rule § 702.19 prohibits substantive communication between a grant applicant and a member of the review panel, the Program Integration Committee (PIC), or the Oversight Committee while the application is pending a final decision. CPRIT intends the communication restriction to prevent even the appearance of unequal treatment during the grant review process. However, CPRIT's administrative rule recognizes that there may be a scenario where the need for a reviewer to communicate directly with an applicant during the review process outweighs the reasoning behind the general prohibition. In that case, CPRIT's rule authorizes the Chief Executive Officer to grant a waiver and notify the Oversight Committee of the waiver and its justification.

In this case, the communication waiver is necessary because CPRIT has made modifications to improve the process for the business due diligence conducted by ICON, CPRIT's third-party vendor, for review cycle 20.1 product development applications. ICON develops its final business due diligence report on each company after gathering information from company representatives about various issues raised by the review panels during peer review. PDRC members evaluate the final ICON reports when making award recommendations. To improve the information-gathering portion of the due diligence process for review cycle 20.1, CPRIT has modified the process to assign at least one PDRC member to participate in the informational call between ICON and the applicant so that the reviewer can seek additional clarification, if necessary, on behalf of the review panel regarding points raised during the initial appraisal of the application.

Granting the waiver does not result in unfair or unequal treatment for any application. Although the assigned PDRC member may communicate directly with an applicant during the ICON call to ask follow-up questions or refine additional points, every application undergoing due diligence review will be subject to the same process. CPRIT will make ICON's final due diligence report available to the full PDRC and CPRIT will include documentation of the waiver in the publicly available grant records for product development research awards in review cycle 20.1.

High Level Summary of Due Diligence

SEED

High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommended that the Program Integration Committee and the Oversight Committee approve the following Seed Company Product Development Research grant award:

- Asylia Therapeutics, Inc. for $3,000,000. The PDRC recommended contract contingencies for this award.

Asylia Therapeutics, Inc.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

Asylia Therapeutics, Inc. is developing a novel antibody to Heat shock protein (HSP)-70 created at University of Texas MD Anderson that works by increasing the ability of dendritic cells, which are key to starting immune reactions, to better recognize the presence of cancer cells. As a result, T-cells become activated to kill cancer cells. Asylia Therapeutics, Inc. has conducted studies to show that their novel antibody, known as ASY-77A, is active against models of solid tumors such as breast, colon cancer, and melanoma, and against blood-related cancers such as multiple myeloma.

Asylia Therapeutics, Inc. plans to convert ASY-77A into a drug that can be given to patients and start clinical trials to show both its safety and efficacy for patients with cancer who do not have remaining curative options. Encouraging initial trial results will support the broader testing and use of this drug in many tumor types and at earlier stages of disease since it uses a mechanism of action that has the potential to impact all cancers. Asylia believes that their drug is a novel and broad approach to augment anti-tumor immunity and improve outcomes in a broad range of tumor types. Through development of this novel drug, Asylia aims to improve outcomes for cancer patients in Texas and beyond whose current therapies are failing them.

These studies will leverage ongoing pre-clinical work and peer-reviewed funding in the laboratories of two of Asylia's Co-Founders, Drs. Ronald DePinho and Robert Orlowski, on the basic and translational aspects of ASY-77A.

Select reviewer comments summarize the significance and impact as follows:

- *This is a highly innovative and compelling approach to addressing the problem of tumor immune tolerance, which at present substantially limits the effectiveness of current immune-oncology agents.*

- *Since cancer "cures" still elude us, there is a large unmet need for novel approaches that are as specific as possible, are efficacious, avoid immune system blockade, and are more generally applicable to multiple cancer types. The…therapy offers tremendous promise. For these reasons and given the strength of the scientific team, the company should be attractive to venture capital investment beyond the seed funding provided by CPRIT and therefore sustainable.*

SEED

High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommended that the Program Integration Committee and the Oversight Committee approve the following Seed Company Product Development Research grant award:

- Texas Magnetic Imaging Technology, Inc. for $2,997,384. The PDRC recommended contract contingencies for this award.

Texas Magnetic Imaging Technology, Inc.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

Texas Magnetic Imaging Technology, Inc. is developing a customized compact Magnetic Resonance scanner that can be installed to conventional medical linear accelerators (LINAC), the device most commonly used for external beam radiation treatments for patients with cancer. Texas Magnetic Imaging Technology's device is designed to improve accuracy and safety of radiation therapy, which is used to treat patients of multiple cancer types.

Radiotherapy (RT) utilizes high-energy radiation generated by a medical linear accelerator (LINAC) to kill cancer. It is used to treat over 1/2 of cancer patients. Online imaging, i.e. to image the patient at treatment position plays an important role for RT. It helps to accurately position the tumor under the radiation beam, to allow physicians making necessary changes on treatment plans based on patient anatomy at treatment, and to see tumor motion during treatment for safety purpose.

Online imaging requires combination of a certain imaging device with a LINAC. Current CT-based systems suffer from low image quality and high x-ray radiation. Recently, two commercial systems combining magnetic resonance imaging (MRI) with LINAC have been developed. However, the bulky system design, high development cost, and sale price (~$8-10 Million) prohibit wide clinical utilization.

Texas Magnetic Imaging Technology, Inc., aims to solve the problem by developing customized compact scanners that can be installed to conventional LINACs. The technology is designed to significantly improve accuracy and safety of RT. Given the wide availability of LINACs in the US and the world, the company expects substantial commercial impacts due to the much larger market potential than that aimed by current MRI-LINAC systems.

Select reviewer comments summarize the significance and impact as follows:

- *Evidence abounds in the need for real-time adjustment to existing radiation plans due to changes in the anatomy. This proposal, if successful, accelerates the adoption of the technology in the market to the betterment of patients.*
- *Given the large percentage of patients with cancer needing radiation therapy, having a very accurate delivery of treatment is obviously both beneficial and important for care.*

SEED

High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommended that the Program Integration Committee and the Oversight Committee approve the following Seed Company Product Development Research grant award:

- Dialectic Therapeutics, Inc. for $3,000,000. The PDRC recommended contract contingencies for this award.

Dialectic Therapeutics, Inc.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

Dialectic Therapeutics is developing a novel drug with the potential to impact multiple cancer types. The company's novel compound is a BCL-XL proteolysis inducing chimera. Dialectic's technology attempts to overcome the toxicity limitations exhibited by other drugs targeting BCL-XL via highly selective targeting of cancer cells but not platelets. The company proposes to conduct the CPRIT-funded preclinical work at the University of Texas Health Science Center in San Antonio and to conduct clinical trials at Texas-based clinical sites.

Founded by three respected cancer scientists and two successful biotech investors, Dialectic Therapeutics is located in Dallas and has research facilities/partners at UT Health in San Antonio (UTHSA) and the University of Florida. Dialectic's lead candidate, DT2216, is a unique compound called a BCL-XL proteolysis targeting chimera (PROTAC) that selectively induces cancer cells to degrade BCL-XL, stimulating the cells to commit suicide on its own, or become more susceptible to chemotherapy.

The company believes that cancer cells are less likely to develop resistance to DT2216 than to other chemotherapy drugs. Preliminary studies show that the drug may have the potential to kill T-cell leukemia as a single agent and small cell lung cancer and breast cancer when combined with chemotherapy. It does this with very little toxicity, particularly to platelets. This novel approach to cancer therapy aims to fill a significant need in cancer treatment regimens. Pre-clinical animal studies are planned to be performed in labs at UTHSA. The work supported by the CPRIT grant will elucidate the best cancer to target, help determine mode of delivery, and complete IND-enabling activities leading to clinical trials. If successful, Dialectic hopes to be able to provide cancer patients who have little hope with increased disease-free survival.

Select reviewer comments summarize the significance and impact as follows:

- *This is a quality application providing substantial information about existing data and the proposed stages of preclinical development.*
- *Dialectic has a well-considered plan…and appears to have a solid understanding of the disease, current competitors, and regulatory requirements.*
- *Commitment to utilizing Texas-based resources is strong. They have established relationships with Texas-based clinicians with access to patients with T-CL.*

SEED

High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommended that the Program Integration Committee and the Oversight Committee approve the following Seed Company Product Development Research grant award:

- Barricade Therapeutics, Corp. for $2,999,376. The PDRC recommended contract contingencies for this award.

Barricade Therapeutics, Corp.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

Barricade Therapeutics, Corp. is developing a novel drug targeting colorectal cancer. The technology was developed by researchers at the University of Texas Southwestern. CPRIT funding will allow Barricade to further validate clinical utility of this drug in human clinical trials.

Over 1.8 million people are estimated to be stricken with colorectal cancer (CRC) every year (3rd most common cancer), and over 880,000 will die (2nd most common cancer). While improvements in prevention and screening have led to increased survival over the past several decades, metastatic cancer still has a poor prognosis (11% 5-year survival) despite best available therapies. Treatment for CRC relies heavily on non-specific chemotherapy drugs with harsh side effects.

Under prior CPRIT research awards, scientists at the University of Texas Southwestern (UTSW) identified a class of highly specific drugs for CRC, referred to as TASINs, that selectively inhibit a mutated gene (adenomatous polyposis coli, or APC) present in greater than 80% of CRC patients. Mutations in APC are one of the earliest and critical events responsible for initiation and progression of CRC. In animal studies, TASINs significantly reduced tumor growth without harming normal cells. Barricade has selected a TASIN molecule to further validate in human studies planned for 2020, with the goal of improving the survival of CRC patients diagnosed. The selective nature of TASINs combined with the prevalence of its target in CRC makes Barricade's drug an attractive candidate for treating millions of people suffering from CRC worldwide.

Select reviewer comments summarize the significance and impact as follows:

- *There is a need for better/newer drugs for colon cancer, and there is definitely a need for precision drugs targeting APC loss.*

- *Colon cancer claims over 50,000 people a year in the United States and is the third-leading cause of cancer deaths in the world. Survival for metastatic disease is poor, and the cancer typically become refractory to current therapies. There is no question that new treatments are urgently needed.*
- *The Barricade management team has an excellent track record and expertise in drug development.*
- *This is a bold new approach that does not involve cytotoxics and could greatly improve therapy and response if this all hangs together through development*.
- *This is super innovative, with modest investment and a good team.*

De-Identified Overall Evaluation Scores

Seed Awards for Product Development Research

Product Development Research Cycle 20.1

Application ID	Final Overall Evaluation Score
DP200056*	2.0
DP200018*	2.3
DP200033*	2.9
DP200046*	3.0
A	3.3
B	4.3
C	4.5
D	4.5
E	4.5
F	4.5
G	5.0
H	5.3
I	5.5
J	5.5
K	5.8
l	6.5

* = Recommended for award

Final Overall Evaluation Scores and Rank Order Scores

January 24, 2020

Donald "Dee" Margo
Oversight Committee Chair
Cancer Prevention and Research Institute of Texas
Via email to dee@deemargo.com
Via email to Dee Margo's assistant, Olivia Zepeda: ozepeda@deemargo.com

Wayne R. Roberts
Program Integration Committee Chair
Cancer Prevention and Research Institute of Texas
Via email to wroberts@cprit.texas.gov

Dear Dee and Wayne,

On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research 20.1 grant award cycle. The PDRC convened on January 13, 2020 and recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards for the following applicants: Asylia Therapeutics, Inc., Dialectic Therapeutics, Inc., Texas Magnetic Imaging Technology, Inc., and Barricade Therapeutics, Corp. The attached table reflects the ranked award recommendations for the four grant applications.

The PDRC did not make any changes to timelines or budgets for the four projects recommended for funding. However, two of these recommendations are contingent on the review of items associated with intellectual property and licensing agreements described as follows:

- Execution of the CPRIT award contract for Asylia Therapeutics, Inc. is contingent on the company's filing of a provisional patent application as well as completion of the licensing agreement with University of Texas MD Anderson Cancer Center.
- Execution of the CPRIT award contract for Barricade Therapeutics, Corp. is contingent on amendment of the license agreement with UT Southwestern to provide Barricade Therapeutics IP protection of the company's lead compound.

In addition, the PDRC recommended modifications to the proposed goals and objectives for three of the recommended awards. The modifications add clarity and specificity and are described below:

- The PDRC recommended changes to aims/goals/objectives for Dialectic Therapeutics which include modification of the wording of Goal 4, Objective 1 to state the following: "In vivo translational studies in patient-derived murine xenografts (PDX). At least 3 PDX models will be run in which the tumors need to exceed a certain volume (large enough in volume that the test will be for a therapeutic vs a prophylactic intervention), with efficacy demonstrated in a dose dependent manner. Furthermore, tests should be conducted with adequate positive and negative controls and in combination with other agents that will likely be encountered clinically and to use enough animals to derive statistical significance."

- The PDRC recommended changes to aims/goals/objectives for Asylia Therapeutics which include modifications of the wording of Goal 1, Objective 1 to state the following: "We will first humanize ASY-77A onto an IgG4 backbone with a hinge point mutation to prevent Fab arm (half-molecule) exchange with other IgG4s in vivo, and assess leads for "developability" to mitigate potential downstream problems. Four vendors will be assessed for their capability to humanize the mouse Mab consistent with the characteristics to be achieved in Objective 2." In addition, the PDRC recommended modification of the wording of Goal 2, Objective 3 to state the following: "Finally, we will complete International Council for Harmonisation, toxicokinetics, pharmacokinetics, immunotoxicology, and photosafety studies to support filing an Investigation New Drug (IND) application."
- The PDRC recommended changes to aims/goals/objectives for Texas Magnetic Imaging Technology which include modification of the wording of Goal 1, Objective 1 to state the following: "Hire a Chief Development Officer or Senior domain-experienced engineer with commercial medical device experience, a product development program manager with experience bringing medical devices to market, and engineering teams for the project. Collect system requirements from representative potential users. Determine clinical functions to be achieved by the retrofit iMRI on the Varian LINAC. Determine targeted system specifications."

I will also note that at its January 13, 2020, 20.1 Due Diligence Meeting, the PDRC took "No Action" on one (1) application. This decision reflects the PDRC's need for additional information from the applicant (DP200034), prior to making a final award recommendation. Once the applicant provides the requested information, the PDRC will reconvene, evaluate the data and make a recommendation. We anticipate that we will provide our award recommendation, if any, regarding this pending application at either the May or August 2020 Oversight Committee meeting.

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

Sincerely,

/JG/
Jack Geltosky, PhD
Chair, CPRIT Product Development Review Council

Attachment

Product Development Review Council Award Recommendations

FY 2020 Cycle 1

Rank	Application ID	Mechanism (Cycle)	Company Name	Project	Maximum Recommended Budget	Overall Score*
1	DP200033	SEED (20.1)	Asylia Therapeutics, Inc.	Development of a Novel Approach to Cancer Immunotherapy by Targeting Extracellular Tumor-derived HSP70 to Dendritic Cells	$3,000,000	2.9
2	DP200046	SEED (20.1)	Texas Magnetic Imaging Technology, Inc.	Integrated interior magnetic resonance imaging and medical linear accelerator system for radiation therapy	$2,997,384	3.0
3	DP200018	SEED (20.1)	Dialectic Therapeutics, Inc.	Developing a First-in-Class BCL-XL Proteolysis Targeting Chimera (BCL-PROTAC) for Cancer Therapy	$3,000,000	2.3
4	DP200056	SEED (20.1)	Barricade Therapeutics, Corp.	Development of a First-in-Class Small Molecule, TASIN, for Targeting Truncated APC Mutations for the Treatment of Colorectal Cancer (CRC)	$2,999,376	2.0
				Total	$11,996,760	

* average reviewer score from in-person peer review

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP200018
Seed Awards for Product Development Research

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 *Seed Awards for Product Development Research* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 3 applications that were withdrawn. This application was assigned to the product development panel 2 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On November 18, 2019, I notified the Oversight Committee members that I granted members of the Product Development Review Council (PDRC) a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

During review of cycle 20.1, the PDRC took no action on one application from the Company Relocation Product Development Research Awards mechanism. Additionally, in the rank order list of the PDRC's recommendation letter sent to the PIC on January 24, 2020, two applications with less favorable scores are ranked ahead of two applications with better scores. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Product Development
MECHANISM: Seed Awards for Product Development Research
APPLICATION ID: DP200018
APPLICATION TITLE: Developing a First-in-Class BCL-XL Proteolysis Targeting Chimera (BCL-PROTAC) for Cancer Therapy
APPLICANT NAME: Sills, Joshua
ORGANIZATION: Dialectic Therapeutics, Inc.
PANEL NAME: Product Development Panel-2

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA approved by CPDO	05/07/2019	12/12/2019
	RFA published in Texas.gov eGrants	05/16/2019	12/12/2019
	CPRIT Application Receipt System (CARS) opened	06/27/2019	12/12/2019
	CPRIT Application Receipt System (CARS) closed	08/07/2019	12/12/2019
	Date application submitted	08/06/2019	12/13/2019
	Method of submission	CARS	12/13/2019
	Within receipt period	YES	12/13/2019
	Request for extension to submit application after CARS closed	NA	12/13/2019
	Request for extension for late application submission accepted	NA	12/13/2019
	Submission of application fee	YES	01/21/2020
Receipt, Referral, and Assignment	Administrative review notification	NA	12/13/2019
	Donation(s) made to CPRIT / foundation	NO	12/13/2019
	Assigned to primary reviewers	08/30/2019	12/13/2019
	Applicant notified of review panel assignment	08/22/2019	12/12/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/13/2019
	Primary (Advocate) Reviewer 2 COI signed	08/21/2019	12/13/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/13/2019
	Primary Reviewer 4 COI signed	08/21/2019	12/13/2019
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	09/11/2019	12/13/2019
	Primary (Advocate) Reviewer 2 critique submitted	09/17/2019	12/13/2019
	Primary Reviewer 3 critique submitted	09/07/2019	12/13/2019
	Primary Reviewer 4 critique submitted	09/09/2019	12/13/2019
	COI indicated by non-primary reviewer	NONE	12/13/2019
	COI recused from participation	NA	12/13/2019
	Screening Teleconference Meeting	09/25/2019	12/12/2019
	Post-Screening Teleconference score report	09/25/2019	12/12/2019
	Post review statements signed	10/24/2019	12/12/2019
	Third Party Observer Report	09/30/2019	12/12/2019
	Recommended for On-Site Meeting	YES	12/13/2019
Peer Review Meeting	COI indicated by non-primary reviewer	NONE	12/13/2019
	COI recused from participation	NA	12/13/2019
	Peer Review Meeting	10/24/2019	12/13/2019
	Peer Review Meeting End Date	10/25/2019	12/13/2019
	Post review statements signed	10/30/2019	12/13/2019
	Third Party Observer Report	11/13/2019	01/16/2020
	Score report delivered to CPDO	11/01/2019	12/13/2019
	Recommended for due diligence and IP review	YES	12/13/2019
Due Diligence and IP Review	Final due diligence review submitted to PDRC	12/11/2019	01/24/2020
	Intellectual Property conflict check	11/01/2019	01/24/2020
	Final intellectual property review submitted	12/10/2019	01/24/2020
Final PDRC Recommendation	COI indicated by PDRC member	NONE	01/16/2020
	COI recused from participation	NA	01/16/2020
	Due Diligence Evaluation Meeting / PDRC Meeting	01/13/2020	01/16/2020
	Third Party Observer Report	01/15/2020	01/23/2020
	Recommended for grant award	YES	01/16/2020
	PDRC Chair Notification to PIC and OC	01/24/2020	01/24/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP200033
Seed Awards for Product Development Research

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 *Seed Awards for Product Development Research* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 3 applications that were withdrawn. This application was assigned to the product development panel 1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On November 18, 2019, I notified the Oversight Committee members that I granted members of the Product Development Review Council (PDRC) a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

During review of cycle 20.1, the PDRC took no action on one application from the Company Relocation Product Development Research Awards mechanism. Additionally, in the rank order list of the PDRC's recommendation letter sent to the PIC on January 24, 2020, two applications with less favorable scores are ranked ahead of two applications with better scores. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Product Development
MECHANISM: Seed Awards for Product Development Research
APPLICATION ID: DP200033
APPLICATION TITLE: Development of a Novel Approach to Cancer Immunotherapy by Targeting Extracellular Tumor-derived HSP70 to Dendritic Cells
APPLICANT NAME: Gyuris, Jeno
ORGANIZATION: Asylia Therapeutics
PANEL NAME: Product Development Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA approved by CPDO	05/07/2019	12/12/2019
	RFA published in Texas.gov eGrants	05/16/2019	12/12/2019
	CPRIT Application Receipt System (CARS) opened	06/27/2019	12/12/2019
	CPRIT Application Receipt System (CARS) closed	08/07/2019	12/12/2019
	Date application submitted	08/07/2019	12/12/2019
	Method of submission	CARS	12/12/2019
	Within receipt period	YES	12/12/2019
	Request for extension to submit application after CARS closed	NA	12/12/2019
	Request for extension for late application submission accepted	NA	12/12/2019
	Submission of application fee	YES	01/21/2020
Receipt, Referral, and Assignment	Administrative review notification	08/23/2019	12/12/2019
	Donation(s) made to CPRIT / foundation	NO	12/12/2019
	Assigned to primary reviewers	08/30/2019	12/12/2019
	Applicant notified of review panel assignment	08/22/2019	12/12/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/12/2019
	Primary (Advocate) Reviewer 2 COI signed	08/21/2019	12/12/2019
	Primary Reviewer 3 COI signed	08/25/2019	12/12/2019
	Primary Reviewer 4 COI signed	08/26/2019	12/12/2019
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	09/17/2019	12/12/2019
	Primary (Advocate) Reviewer 2 critique submitted	09/13/2019	12/12/2019
	Primary Reviewer 3 critique submitted	09/17/2019	12/12/2019
	Primary Reviewer 4 critique submitted	09/18/2019	12/12/2019
	COI indicated by non-primary reviewer	NONE	12/12/2019
	COI recused from participation	NA	12/12/2019
	Screening Teleconference Meeting	09/24/2019	12/12/2019
	Post-Screening Teleconference score report	09/24/2019	12/12/2019
	Post review statements signed	10/02/2019	12/12/2019
	Third Party Observer Report	09/30/2019	12/12/2019
	Recommended for On-Site Meeting	YES	12/12/2019
Peer Review Meeting	COI indicated by non-primary reviewer	NONE	12/12/2019
	COI recused from participation	NA	12/12/2019
	Peer Review Meeting	10/22/2019	12/12/2019
	Peer Review Meeting End Date	10/23/2019	12/12/2019
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	Score report delivered to CPDO	11/01/2019	12/12/2019
	Recommended for due diligence and IP review	YES	12/12/2019
Due Diligence and IP Review	Final due diligence review submitted to PDRC	12/11/2019	01/24/2020
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	Final intellectual property review submitted	12/10/2019	01/24/2020
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	COI recused from participation	NA	01/16/2020
	Due Diligence Evaluation Meeting / PDRC Meeting	01/13/2020	01/16/2020
	Third Party Observer Report	01/15/2020	01/23/2020
	Recommended for grant award	YES	01/16/2020
	PDRC Chair Notification to PIC and OC	01/24/2020	01/24/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP200046
Seed Awards for Product Development Research

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 *Seed Awards for Product Development Research* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 3 applications that were withdrawn. This application was assigned to the product development panel 1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- 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

On November 18, 2019, I notified the Oversight Committee members that I granted members of the Product Development Review Council (PDRC) a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

During review of cycle 20.1, the PDRC took no action on one application from the Company Relocation Product Development Research Awards mechanism. Additionally, in the rank order list of the PDRC's recommendation letter sent to the PIC on January 24, 2020, two applications with less favorable scores are ranked ahead of two applications with better scores. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 02/04/2020 13:48 PM

FY: 2020
CYCLE: 1
PROGRAM: Product Development
MECHANISM: Seed Awards for Product Development Research
APPLICATION ID: DP200046
APPLICATION TITLE: Integrated interior magnetic resonance imaging and medical linear accelerator system for radiation therapy
APPLICANT NAME: Choudhury, Farhad
ORGANIZATION: Texas Magnetic Imaging Technology, Inc.
PANEL NAME: Product Development Panel-1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA approved by CPDO	05/07/2019	12/12/2019
	RFA published in Texas.gov eGrants	05/16/2019	12/12/2019
	CPRIT Application Receipt System (CARS) opened	06/27/2019	12/12/2019
	CPRIT Application Receipt System (CARS) closed	08/07/2019	12/12/2019
	Date application submitted	08/07/2019	12/12/2019
	Method of submission	CARS	12/12/2019
	Within receipt period	YES	12/12/2019
	Request for extension to submit application after CARS closed	NA	12/12/2019
	Request for extension for late application submission accepted	NA	12/12/2019
	Submission of application fee	YES	01/21/2020
Receipt, Referral, and Assignment	Administrative review notification	08/23/2019	12/12/2019
	Donation(s) made to CPRIT / foundation	NO	12/12/2019
	Assigned to primary reviewers	08/30/2019	12/12/2019
	Applicant notified of review panel assignment	08/22/2019	12/12/2019
	Primary Reviewer 1 COI signed	08/26/2019	12/12/2019
	Primary (Advocate) Reviewer 2 COI signed	08/21/2019	12/12/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/12/2019
	Primary Reviewer 4 COI signed	08/24/2019	12/12/2019
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	09/18/2019	12/12/2019
	Primary (Advocate) Reviewer 2 critique submitted	09/17/2019	12/12/2019
	Primary Reviewer 3 critique submitted	09/18/2019	12/12/2019
	Primary Reviewer 4 critique submitted	09/18/2019	12/12/2019
	COI indicated by non-primary reviewer	NONE	12/12/2019
	COI recused from participation	NA	12/12/2019
	Screening Teleconference Meeting	09/24/2019	12/12/2019
	Post-Screening Teleconference score report	09/24/2019	12/12/2019
	Post review statements signed	10/02/2019	12/12/2019
	Third Party Observer Report	09/30/2019	12/12/2019
	Recommended for On-Site Meeting	YES	12/12/2019
Peer Review Meeting	COI indicated by non-primary reviewer	NONE	12/12/2019
	COI recused from participation	NA	12/12/2019
	Peer Review Meeting	10/22/2019	12/12/2019
	Peer Review Meeting End Date	10/23/2019	12/12/2019
	Post review statements signed	11/04/2019	12/12/2019
	Third Party Observer Report	11/01/2019	01/21/2020
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	Recommended for due diligence and IP review	YES	12/12/2019
Due Diligence and IP Review	Final due diligence review submitted to PDRC	12/11/2019	01/24/2020
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	Due Diligence Evaluation Meeting / PDRC Meeting	01/13/2020	01/16/2020
	Third Party Observer Report	01/15/2020	01/23/2020
	Recommended for grant award	YES	01/16/2020
	PDRC Chair Notification to PIC and OC	01/24/2020	01/24/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application DP200056
Seed Awards for Product Development Research

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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On November 18, 2019, I notified the Oversight Committee members that I granted members of the Product Development Review Council (PDRC) a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

During review of cycle 20.1, the PDRC took no action on one application from the Company Relocation Product Development Research Awards mechanism. Additionally, in the rank order list of the PDRC's recommendation letter sent to the PIC on January 24, 2020, two applications with less favorable scores are ranked ahead of two applications with better scores. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

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 FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

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 5 day of February, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland
Notary Public, State of Texas

MELANIE CLEVELAND
NOTARY PUBLIC
ID# 131757703
State of Texas
Comm. Exp. 10-08-2022
NOTARY WITHOUT BOND

CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE Date and time exported: 02/05/2020 07:44 AM

FY:	2020
CYCLE:	1
PROGRAM:	Product Development
MECHANISM:	Seed Awards for Product Development Research
APPLICATION ID:	DP200056
APPLICATION TITLE:	Development of a First-in-Class Small Molecule, TASIN, for Targeting Truncated APC Mutations for the Treatment of Colorectal Cancer (CRC)
APPLICANT NAME:	Thapar, Ansh C
ORGANIZATION:	Barricade Therapeutics, Corp.
PANEL NAME:	Product Development Panel 2

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA approved by CPDO	05/07/2019	12/12/2019
	RFA published in Texas.gov eGrants	05/16/2019	12/12/2019
	CPRIT Application Receipt System (CARS) opened	06/27/2019	12/12/2019
	CPRIT Application Receipt System (CARS) closed	08/07/2019	12/12/2019
	Date application submitted	08/07/2019	12/13/2019
	Method of submission	CARS	12/13/2019
	Within receipt period	YES	12/13/2019
	Request for extension to submit application after CARS closed	NA	12/13/2019
	Request for extension for late application submission accepted	NA	12/13/2019
	Submission of application fee	YES	01/21/2020
Receipt, Referral, and Assignment	Administrative review notification	NA	12/13/2019
	Donation(s) made to CPRIT / foundation	NO	12/13/2019
	Assigned to primary reviewers	08/30/2019	12/13/2019
	Applicant notified of review panel assignment	08/22/2019	12/12/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/13/2019
	Primary (Advocate) Reviewer 2 COI signed	08/21/2019	12/13/2019
	Primary Reviewer 3 COI signed	08/28/2019	12/13/2019
	Primary Reviewer 4 COI signed	08/22/2019	12/13/2019
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	09/07/2019	12/13/2019
	Primary (Advocate) Reviewer 2 critique submitted	09/17/2019	12/13/2019
	Primary Reviewer 3 critique submitted	09/18/2019	12/13/2019
	Primary Reviewer 4 critique submitted	09/20/2019	12/13/2019
	COI indicated by non-primary reviewer	George Trainor, Diane Amy Trainor, Leila Allard	12/13/2019
	COI recused from participation	YES	12/13/2019
	Screening Teleconference Meeting	09/23/2019	12/12/2019
	Post-Screening Teleconference score report	09/25/2019	12/12/2019
	Post review statements signed	10/24/2019	12/12/2019
	Third Party Observer Report	09/30/2019	12/12/2019
	Recommended for On-Site Meeting	YES	12/13/2019
Peer Review Meeting	COI indicated by non-primary reviewer	George Trainor, Diane Amy Trainor, Leila Allard	01/16/2020
	COI recused from participation	YES	01/16/2020
	Peer Review Meeting	10/24/2019	01/16/2020
	Peer Review Meeting End Date	10/25/2019	01/16/2020
	Post review statements signed	10/30/2019	01/16/2020
	Third Party Observer Report	11/13/2019	01/16/2020
	Score report delivered to CPDO	11/01/2019	01/16/2020
	Recommended for due diligence and IP review	YES	01/16/2020
Due Diligence and IP Review	Final due diligence review submitted to PDRC	12/11/2019	01/24/2020
	Intellectual Property conflict check	11/04/2019	01/24/2020
	Final intellectual property review submitted	12/09/2019	01/24/2020
Final PDRC Recommendation	COI indicated by PDRC member	NONE	01/16/2020
	COI recused from participation	NA	01/16/2020
	Due Diligence Evaluation Meeting / PDRC Meeting	01/13/2020	01/16/2020
	Third Party Observer Report	01/15/2020	01/23/2020
	Recommended for grant award	YES	01/16/2020
	PDRC Chair Notification to PIC and OC	01/24/2020	01/24/2020
PIC Review	COI indicated by PIC member	NONE	02/04/2020
	COI recused from participation	NA	02/04/2020
	PIC Review Meeting	02/04/2020	02/04/2020
	Recommended for grant award	YES	02/04/2020
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	NA	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	

Comments:	
Comment	Created Date
No Comment	

CPRIT retains the identity of the attesting party.

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

February 5, 2020

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 55 grant applications totaling $78,223,614. The PIC recommendations for 41 academic research grant awards, 10 prevention awards, and 4 product development research awards are attached.

Dr. Jim Willson, CPRIT's Chief Scientific Officer, Ms. Ramona Magid, CPRIT's Chief Prevention Officer, and Dr. Cindy WalkerPeach, CPRIT's Chief Product Development Officer, have prepared overviews of the academic research, prevention, and product development research slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary with enough detail to understand the substance of the proposal and the reasons endorsing grant funding. In addition to the full overviews, all of the information considered by the Review Councils is available by clicking on the appropriate link in the portal. This information includes the application, peer reviewer critiques, and the CEO affidavit for each proposal.

The PIC used the award deferral process set by CPRIT administrative rule § 703.7(d) to defer the decision to recommend awards for 13 academic research applications until a future FY 2020 meeting. All 13 of the deferred applications were recommended by the Scientific Review Council. The deferred applications include eight *Individual Investigator Research Awards*, two *Individual Investigator Awards for Cancers in Children and Adolescents*, two *Individual Investigator Research Awards for Prevention and Early Detection*, and one *Individual Investigator Research Award for Clinical Translation*. At the PIC meeting, Dr. Willson recommended deferring the awards due to program budget projections. For a list of the deferred applications, please refer to the separate deferral letter, located in the Oversight Committee portal. No Oversight Committee action is necessary at this time.

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 February 19, 2020. 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, Dr. Willson, Ms. Magid, and Dr. WalkerPeach 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

PO Box 12097 | Austin, Texas 78711 | PH: 512-463-3190 | F: 512-475-2563 | cprit.texas.gov

Academic Research Award Recommendations –

The PIC unanimously recommends approval of 41 academic research grant proposals totaling $52,719,085. The recommended grant proposals were submitted in response to seven grant mechanisms: *Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Clinical Translation; Individual Investigator Research Awards for Prevention and Early Detection; Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Established Investigators*, and *Recruitment of Rising Stars.* The Scientific Review Council provided the prioritized list of recommendations for the awards to the presiding officers on January 17, 2020. After voting to defer 13 award recommendations, the PIC approved the recommended rank order as presented by the Scientific Review Council.

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;
    - This priority applies to the following mechanisms: *Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Clinical Translation; Individual Investigator Research Awards for Prevention and Early Detection*
- 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 Grant Award Recommendations

Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	**1.2**	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immunoresistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	$900,000
2	RP200093	IIRA	**1.6**	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	$900,000
3	RP200081	IIRA	**1.7**	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	$900,000
4	RP200395	IIRA	**1.7**	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	$900,000
5	RP200233	IIRA	**1.8**	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	$900,000
6	RP200120	IIRA	**1.9**	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	$900,000
7	RP200023	IIRA	**1.9**	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	$900,000
8	RP200271	IIRA	**1.9**	Development of a Novel Strategy for Tumor Delivery of MHC-I–Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	$900,000

Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
9	RP200103	IIRACCA	**2.0**	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	$1,137,104
10	RP200401	IIRA	**2.0**	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	$900,000
11	RP200170	IIRA	**2.0**	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	$900,000
12	RP200467	IIRA	**2.0**	SREBP-2–Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	$900,000
13	RP200197	IIRA	**2.0**	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	$900,000
14	RP200173	IIRACT	**2.0**	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	$2,067,105
15	RP200369	IIRACT	**2.0**	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	$1,200,000
16	RP200223	IIRA	**2.0**	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	$887,713
17	RP200021	IIRA	**2.0**	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	$900,000
18	RP200402	IIRA	**2.1**	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	$899,847
19	RP200390	IIRA	**2.1**	Heterogeneity of Enhancer Patterns in Colorectal Cancers—	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	$898,872

Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
				Mechanisms and Therapy			
20	RP200284	IIRA	**2.1**	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	$899,959
21	RP200110	IIRACCA	**2.2**	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	$1,200,000
22	RP200235	IIRA	**2.2**	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	$900,000
23	RP200150	IIRA	**2.2**	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	$900,000
24	RP200452	IIRA	**2.2**	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	$900,000
25	RP200315	IIRA	**2.3**	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	$900,000
26	RP200409	IIRAP	**2.4**	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	$890,502
27	RP200381	IIRACCA	**2.4**	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	$1,444,593

Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
				Patients for Evaluating Exercise Interventions			
28	RP200443	IIRA	**2.4**	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	$897,527
29	RP200456	IIRA	**2.4**	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	$899,651
30	RP200287	IIRA	**2.5**	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	$900,000
31	RP200181	IIRA	**2.5**	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	$900,000
32	RP200047	IIRA	**2.6**	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	$900,000
33	RP200118	IIRA	**2.6**	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	$900,000
34	RP200356	IIRACT	**2.6**	Circulating Tumor DNA–Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	$2,399,998
35	RP200439	IIRA	**2.7**	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	$900,000
36	RP200432	IIRACCA	**2.7**	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	$1,196,214

IIRA: Individual Investigator Research Awards
IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents;
IIRACT: Individual Investigator Research Awards for Clinical Translation
IIRAP: Individual Investigator Research Awards for Prevention and Early Detection

Academic Research Recruitment Grant Award Recommendations

Rank	Application ID	Award Mechanism	Score	Candidate	Organization	Budget
1	RR200029	RFTFM	**1.5**	Eric Smith, M.D., Ph.D	The University of Texas M.D. Anderson Cancer Center	$2,000,000
2	RR200025	RFTFM	**1.5**	Anna-Karin Gustavsson, Ph.D.	Rice University	$2,000,000
3	RR200030	RRS	**2.0**	Shaun Olsen, Ph.D.	The University of Texas health Science Center at San Antonio	$4,000,000
4	RR200032	REI	**2.0**	Karl Scheid, Ph.D.	The University of Texas at San Antonio	$6,000,000
5	RR200035	RFTFM	**2.0**	Adam Durbin, M.D., Ph.D.	The University of Texas Southwestern Medical Center	$2,000,000

REI: Recruitment of Established Investigators
RFTFM: Recruitment of First-Time, Tenure-Track Faculty Members
RRS: Recruitment of Rising Stars

Prevention Award Recommendations –

The PIC unanimously recommends approval of 10 prevention grant proposals totaling $13,507,769. The recommended grant proposals were submitted in response to the following mechanisms*: Tobacco Control and Lung Cancer Screening; Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations; Evidence Based Cancer Prevention Services*, and *Dissemination of CPRIT-Funded Cancer Control Interventions*. The Prevention Review Council provided its recommendation to the presiding officers on January 21, 2020. The PIC approved the recommended rank order as presented by the Prevention Review Council.

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 prevention proposals met the following CPRIT funding priorities:

- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- 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; and
- address the goals of the Texas Cancer Plan.

Prevention Grant Award Recommendations

Rank	Application ID	Mechanism	Score	Application Title	PD	Organization	Budget
1	PP200006	EPS	1.9	De Casa en Casa 3: Cervical Cancer Screening in Underserved Rural and Border Communities in West and South Texas	Shokar, Navkiran	Texas Tech University Health Sciences Center at El Paso	$1,985,089
2	PP200055	DI	2.0	Advancing the Access to Cancer Training, Information, Outreach, and Navigation (ACTION) Project for CHW Dissemination of Resources to At-Risk Texas Regions	Bolin, Jane	Texas A&M University System Health Science Center	$300,000
3	PP200028	EPS	2.3	Active Living After Cancer: Combining a Physical Activity Program with Survivor Navigation	Basen-Engquist, Karen	The University of Texas M. D. Anderson Cancer Center	$1,999,200
4	PP200005	EPS	2.7	Maximizing opportunities for HPV vaccination in medically underserved counties of Southeast Texas	Berenson, Abbey	The University of Texas Medical Branch at Galveston	$1,993,096
5	PP200017	EPS	2.8	Expanding "All for Them": A comprehensive school-based approach to increase HPV vaccination through public schools	Cuccaro, Paula	The University of Texas Health Science Center at Houston	$1,960,631
6	PP200051	DI	3.0	Taking Texas Tobacco Free Through a Sustainable Education/Training Program Designed for Personnel Addressing Tobacco Control in Behavioral Health Settings	Reitzel, Lorraine	University of Houston	$ 299,953
7	PP200034	EBP	3.1	Advancing Breast Health among Uninsured Women	Jacobs, Elizabeth	The University of Texas at Austin	$995,999
8	PP200040	TCL	3.2	BEXAR COUNTY'S NAVIGATION TO CESSATION (N2C)	Scott, Anthony	University Health System	$ 973,809
9	PP200009	EPS	3.2	The Expanded C-SPAN Coalition: Colorectal Screening and Patient Navigation	Argenbright, Keith	The University of Texas Southwestern Medical Center	$2,000,000
10	PP200036	EBP	3.4	Screening and Treatment for Unhealthy Alcohol Use as a Means of Cancer Prevention	Pignone, Michael	The University of Texas at Austin	$ 999,992

DI: Dissemination of CPRIT-Funded Cancer Control Interventions
EBP: Evidence Based Cancer Prevention Services
EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
TCL: Tobacco Control and Lung Cancer Screening

Product Development Research Award Recommendations –

The PIC unanimously recommends approval of four product development research grant proposals totaling $11,996,760. The recommended grant proposals were submitted in response to following request for applications: *Seed Awards for Product Development Research*. The Product Development Review Council provided its recommendation to the presiding officers on January 24, 2020. The PIC approved the recommended rank order as presented by the Product Development Review Council.

The PIC is required to give funding priority, to the extent possible, to applications that meet one or more criteria set forth in V.T.C.A., TEX. HEALTH & SAFETY CODE § 102.251(a)(2)(C). The PIC determined that these product development 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;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state;
- expedite innovation and commercialization, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
- address the goals of the Texas Cancer Plan.

Product Development Grant Award Recommendations

Rank	Application ID	Mechanism	Score	Company	Project	Recommended Budget
1	DP200033	SEED	2.9	Asylia Therapeutics, Inc.	Development of a Novel Approach to Cancer Immunotherapy by Targeting Extracellular Tumor-derived HSP70 to Dendritic Cells	$3,000,000
2	DP200046	SEED	3.0	Texas Magnetic Imaging Technology, Inc.	Integrated interior magnetic resonance imaging and medical linear accelerator system for radiation therapy	$2,997,384
3	DP200018	SEED	2.3	Dialectic Therapeutics, Inc.	Developing a First-in-Class BCL-XL Proteolysis Targeting Chimera (BCL-PROTAC) for Cancer Therapy	$3,000,000
4	DP200056	SEED	2.0	Barricade Therapeutics, Corp.	Development of a First-in-Class Small Molecule, TASIN, for Targeting Truncated APC Mutations for the Treatment of Colorectal Cancer (CRC)	$2,999,376

SEED: Seed Awards for Product Development Research

CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

February 5, 2020

Dear Oversight Committee Members:

Pursuant to Texas Administrative Code § 703.7(d), members of the Program Integration Committee (PIC) present and able to vote unanimously agreed to defer the following 13 Academic Research applications that were recommended by the Scientific Review Council (SRC):

RP200025
RP200058
RP200135
RP200166
RP200240
RP200242
RP200254
RP200327
RP200383
RP200385
RP200392
RP200464
RP200472

The deferred applications include eight Individual Investigator Research Awards, two Individual Investigator Awards for Cancers in Children and Adolescents, one application for Individual Investigator Awards for Clinical Translation, and two Individual Investigator Research Awards for Prevention and Early Detection.

While all are meritorious projects and received favorable scores, the PIC deferred these applications due to CPRIT overall budget concerns throughout FY2020. The PIC may consider and recommend the deferred applications at a later date in the fiscal year.

Deferring these 13 applications now allows CPRIT more flexibility when considering any award recommendations for the remainder of the fiscal year. No Oversight Committee action is necessary at this time.

Sincerely,

Wayne R. Roberts
Chief Executive Officer

PO Box 12097 | Austin, Texas 78711 | PH: 512-463-3190 | F: 512-475-2563 | cprit.texas.gov

CANCER PREVENTION & RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO:	OVERSIGHT COMMITTEE MEMBERS
FROM:	VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT:	COMPLIANCE CERTIFICATION – FEBRUARY 2020 AWARDS
DATE:	FEBRUARY 6, 2020

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
- Individual Investigator Research Awards
- Individual Investigator Research Awards for Childhood and Adolescent Cancers
- Individual Investigator Research Awards for Prevention and Early Detection
- Individual Investigator Research Awards for Clinical Translation
- Seed Awards for Product Development Research
- Tobacco Control and Lung Cancer Screening
- Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
- Evidence-Based Cancer Prevention Services
- Dissemination of CPRIT-Funded Cancer Control Interventions

I have conferred with staff at CPRIT and General Dynamics Information Technology (GDIT), CPRIT's contracted third-party grants administrator, regarding the academic research, product development research, and prevention 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, product development research, and prevention 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 20.4-5 and 20.6, one application was received for the Recruitment of Established Investigators RFA, three applications were received in response to the Recruitment of Rising Stars RFA, and seven applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA.

In response to the academic, non-recruitment RFAs for Cycle 20.1, CPRIT received 387 applications. Ten applications were administratively withdrawn prior to panel assignment and one application was administratively withdrawn after panel assignment but prior to peer review. In addition, nine applications were withdrawn by the applicant prior to Peer Review and one application was withdrawn by the applicant after Peer Review but prior to the Scientific Review Council (SRC) meeting.

All academic research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. Three applicants requested an extension to submit an application after the deadline. The program officer determined that there was good cause for two of the requests and the deadline was extended for those two applicants.

Product Development Research:

For Cycle 20.1, eight applications were received for the Texas Company Product Development Awards RFA, 16 applications were received for the Company Relocation Product Development Research Awards RFA, and 18 applications were received for the Seed Awards for Product Development Research RFA. Two applications were administratively withdrawn and one application was withdrawn by the applicant.

All product development research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. One applicant requested an extension to submit an application after the deadline. The program officer determined that there was good cause for the request and the deadline was extended.

Prevention:

For Cycle 20.1, 14 applications were received for the Evidence-Based Cancer Prevention Services RFA, five applications were received for the Tobacco Control and Lung Cancer Screening RFA, 11 applications were received for the Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations RFA, and five applications were received for the Dissemination of CPRIT-Funded Cancer Control Interventions RFA. Two applications was administratively withdrawn prior to peer review.

All prevention RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. One applicant requested an extension to submit an application after the deadline. The program officer determined that there was good cause for the request and the deadline was extended.

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 are assigned to the Scientific Review Council members for peer review. All other academic research, product development research, and prevention applications are assigned by the peer review panel chair to their respective peer review panels. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

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

Academic Research:

Ten applications were administratively withdrawn prior to panel assignment and one application was administratively withdrawn after panel assignment but prior to peer review. In addition, nine applications were withdrawn by the applicant prior to Peer Review and one application was withdrawn by the applicant after Peer Review but prior to the Scientific Review Council (SRC) meeting.

The four non-recruitment mechanisms went through a preliminary evaluation process as allowed by T.A.C. § 703.6(e)(1). Based on the scores of the preliminary evaluation, 149 academic, non-recruitment applications did not move forward to the full review phase. The remaining 220 academic research, non-recruitment applications were recommended for full review.

Product Development Research:

Three applications were withdrawn prior to peer review; two applications were administratively withdrawn and one application was withdrawn by the applicant.

Prevention:

Two applications was administratively withdrawn prior to peer review.

Peer Review:

Primary reviewers (typically three) must submit written critiques for each of their assigned applications prior to the peer review meeting. 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.

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. After the peer review meetings, a final score report from the review committee is delivered to the Review Council for additional review.

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. One conflict of interest was declared for Cycle 20.4-5 and one conflict of interest was declared for Cycle 20.6.

I reviewed and confirmed that the post review conflict of interest statements were signed by the six SRC members that attended the 20.4-5 Recruitment Review Panel meeting on December 12, 2019, the five SRC members that attended the 20.6 Recruitment Review Panel on January 16, 2020.

Academic research applications (non-recruitment) are reviewed by peer review panels and recommended to the Scientific Review Council. As documented by GDIT, reviewers with conflicts of interest did not participate in review of those applications. I reviewed supporting documentation,

such as conflict of interest statements (COIs), third-party observer reports, and sign out sheets. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each review panel as well as the six SRC members that attended the Review Council meeting on December 12, 2019.

Product Development Research:

Product Development Research awards go through a peer review teleconference screening call to determine which applications will be invited to in-person review. Those applicants that attend in-person review are once again evaluated by peer reviewers. Applicants recommended after in-person review must then go through operations and management due diligence review, which is conducted by outside contractors and outside intellectual property counsel. The Product Development Review Council (PDRC) recommends awards after due diligence to the PIC. I have verified from GDIT documentation and the third-party observer reports that those reviewers with conflicts did not participate in review of applications for which they indicated a conflict of interest. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.

I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each panel as well as the six PDRC members and eight expert reviewers that attended the Due Diligence meeting on January 13, 2020.

Prevention:

For the Dissemination of CPRIT-Funded Cancer Control Interventions RFA, the applications are reviewed by the Prevention Review Council (PRC), which assigns two members of the PRC to be primary reviewers. All other Prevention applications are reviewed by peer review panels and then sent to the Prevention Review Council (PRC).

I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. As documented by GDIT and verified by third-party observer reports, reviewers with conflicts of interest did not participate in review of those applications. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.

I reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for Prevention Panel 1 on December 10-11, 2019, and the Dissemination of CPRIT-Funded Cancer Control Interventions Panel on January 17, 2020, as well as the three PRC members that attended the PRC meeting on January 17, 2020.

Programmatic Review:

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

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

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

For the Academic Research, Product Development Research and Prevention awards, 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.

Academic Research:

I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards or deferred by the PIC. Each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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

The SRC met on December 12, 2019, to consider 49 applications recommended by the peer review panels following their meetings held between October 17-24, 2019. After review and discussion of these applications, the SRC recommended all 49 applications to the Program Integration Committee (PIC) for consideration.

Product Development Research:

For Cycle 20.1, seven applications went through due diligence and four of those applications were recommended by the PDRC to the PIC at the Due Diligence Meeting on January 13, 2020. It should be noted that the PDRC took no action on one application from the Company Relocation mechanism. The decision reflects the PDRC's need for additional information form the applicant prior to making a final award recommendation. The PDRC is anticipated to provide an award recommendation, if any, regarding this pending application for either the May or August 2020 Oversight Committee meeting.

In the Product Development Review Council (PDRC) recommendation letter sent to the PIC and Oversight Committee chairs on January 24, 2020, two applications recommended by the PDRC were ranked ahead of applications with a more favorable score. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.

I note that on November 18, 2019, Mr. Roberts, CPRIT's Chief Executive Officer, granted members of the PDRC a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" Seed Awards for Product Development Research packet.

Prevention:

The Prevention Review Council (PRC) met on January 17, 2020 to consider 10 applications recommended by the peer review panels following their meetings held on December 10-11, 2019, and the Dissemination of CPRIT-Funded Cancer Control Interventions Panel on January 17, 2020. After review and discussion of these applications, the PRC recommended 10 applications to the Program Integration Committee (PIC) for consideration.

I note that on June 11, 2019, Mr. Roberts granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet for each of the prevention mechanisms recommended by the PIC.

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 February 4, 2020, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. Four of the five PIC members were present for the meeting; Dr. John Hellerstedt, Commissioner of the Texas Department of State Health Services, was unable to attend the meeting.

The PIC considered 68 applications that were recommended by the three review councils. The Chief Scientific Officer recommended that action be deferred on 13 academic research until a later PIC meeting in FY20. The PIC unanimously voted to defer those 13 award recommendations: therefore, 55 applications were recommended to move forward to the Oversight Committee.

Dr. Willson declared a conflict of interest for two proposed awards to the University of Texas at Dallas, RP200021 and RP200233. Pursuant to the Texas Health & Safety Code Section 102.1062 conflict of interest waiver approved by the Oversight Committee at the November 2019 meeting, Dr. Willson presented the Individual Investigator Research Awards slate that included these two award recommendations but Dr. Willson abstained from voting on RP200021 and RP200233.

A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.