Cancer Prevention & Research
Institute of Texas

Agency Strategic Plan
Fiscal Years 2015 - 2019

Cancer Prevention and Research Institute of Texas

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BY

Cancer Prevention and Research Institute of Texas

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Statewide Vision, Mission, and Philosophy

In March 2014, Governor Rick Perry issued the following in his *Strengthening our Prosperity: The Statewide Strategic Planning Elements for Texas State Government* statement.

Priority Goals

As we begin this next round in our strategic planning process, we must continue to critically examine the role of state government by identifying the core programs and activities necessary for the long-term economic health of our state, while eliminating outdated and inefficient functions. We must continue to adhere to the priorities that have made Texas a national economic leader:

- *ensuring the economic competitiveness of our state by adhering to principles of fiscal discipline, setting clear budget priorities, living within our means, and limiting the growth of government;*
- *investing in critical water, energy, and transportation infrastructure needs to meet the demands of our rapidly growing state;*
- *ensuring excellence and accountability in public schools and institutions of higher education as we invest in the future of this state and ensure Texans are prepared to compete in the global marketplace;*
- *defending Texans by safeguarding our neighbors and neighborhoods and protecting our international border; and*
- *increasing transparency and efficiency at all levels of government to guard against waste, fraud, and abuse, ensuring that Texas taxpayers keep more of their hard-earned money to keep our economy and our families strong.*

The Mission of Texas State Government

Texas state government must be limited, efficient, and completely accountable. It should foster opportunity and economic prosperity, focus on critical priorities, and support the creation of strong family environments for our children. The stewards of the public trust must be men and women who administer state government in a fair, just, and responsible manner. To honor the public trust, state officials must seek new and innovative ways to meet state government priorities in a fiscally responsible manner.

Aim high...we are not here to achieve inconsequential things!

The Philosophy of Texas State Government

The task before all state public servants is to govern in a manner worthy of this great state. We are a great enterprise, and as an enterprise, we will promote the following core principles:

- First and foremost, Texas matters most. This is the overarching, guiding principle by which we will make decisions. Our state, and its future, is more important than party, politics, or individual recognition.
- Government should be limited in size and mission, but it must be highly effective in performing the tasks it undertakes.
- Decisions affecting individual Texans, in most instances, are best made by those individuals, their families, and the local government closest to their communities.
- Competition is the greatest incentive for achievement and excellence. It inspires ingenuity and requires individuals to set their sights high. Just as competition inspires excellence, a sense of personal responsibility drives individual citizens to do more for their future and the future of those they love.
- Public administration must be open and honest, pursuing the high road rather than the expedient course. We must be accountable to taxpayers for our actions.
- State government has a responsibility to safeguard taxpayer dollars by eliminating waste and abuse and providing efficient and honest government.
- Finally, state government should be humble, recognizing that all its power and authority is granted to it by the people of Texas, and those who make decisions wielding the power of the state should exercise their authority cautiously and fairly.

Relevant Statewide Goals and Benchmarking

Higher Education: To prepare individuals for a changing economy and workforce by:

- Furthering the development and application of knowledge through teaching, research, and commercialization.

Statewide Benchmarks

- Number of patents obtained in emerging technologies.
- Number of private sector companies created as a result of activities at public institutions of higher education.

Health and Human Services: To promote the health, responsibility and self-sufficiency of individuals and families by:

- Continuing to create partnerships with local communities, advocacy groups, and the private and not-for-profit sectors; and
- Investing state funds in Texas research initiatives which develop cures for cancer.

Statewide Benchmarks

- Number of state funded cancer research grant projects.
- Amount of leveraged dollars invested in state funded research grants projects.

Economic Development: To provide an attractive economic climate for current and emerging industries and market Texas as a premier business expansion and tourist destination that fosters economic opportunity, job creation, capital investment, and infrastructure development by:

- Promoting a favorable business climate.

Statewide Benchmarks

- Number of emerging technology research commercialization investments awarded.
- Number of nationally recognized researchers recruited to Texas public institutions of higher education as a result of emerging technology research superiority grants.

General Government: To provide citizens with greater access to government services while reducing service delivery costs and protecting the fiscal resources for current and future taxpayers by:

- Supporting effective, efficient, and accountable state government operations.

Statewide Benchmark

- Issuance cost per $1,000 in general obligation debt.

Cancer Prevention and Research Institute of Texas Mission and Philosophy

Agency Mission

Pursuant to V.T.C.A., Health and Safety Code, Section 102.002, the Cancer Prevention and Research Institute of Texas is to create and expedite innovation in the area of cancer research and to enhance the potential for a medical or scientific breakthrough in the prevention of cancer and 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 this state; and develop and implement the *Texas Cancer Plan*.

Agency Philosophy

The Cancer Prevention and Research Institute of Texas will act in accordance with the highest standards of ethics, accountability, efficiency, and transparency. We affirm that our constitutional responsibility to distribute public funds to cure and mitigate cancer is a commitment to the citizens of Texas. We approach our responsibilities with purpose to honor that commitment.

External and Internal Assessment

Overview

The five year period covered by this strategic plan is affected by events that occurred during the 2012-13 fiscal biennium.

For CPRIT, FY2013 was defined by profound reflection and re-examination of why CPRIT was created by the Texas Legislature and authorized by the citizens of Texas in the first place, and of how the Institute had operated between 2008 and 2012.

During those years, the CPRIT Oversight Committee organized and retained the key leaders who quickly built the new agency into a major force in the fight against cancer. The Institute developed and implemented a complex peer review process, using out-of-state expert scientific, prevention, and product development professionals, to identify and guide funding for the cutting-edge programs envisioned by the Legislature and the Texas medical, public health and bioscience community.

In 2012, questions arose about several CPRIT awards as well as concerns about possible conflicts of interest that may have interfered in the evaluation processes. In December of that year, state leadership asked the Institute to suspend its operations until the Legislature could review whether CPRIT had been operating as envisioned and what mid-course adjustments might be needed when it restarted. Also, during the latter part of 2012 a national search was conducted to identify a successor to the first chief scientific officer who had announced his resignation effective in mid-October. The successful search concluded with the nationally recognized recruit arriving at CPRIT in early January 2013.

The first half of 2013 focused almost exclusively on the legislative reassessment and CPRIT's self-examination. The work began with the arrival of two administrators with some 72 years of state agency and legislative experience between them. These two worked closely with lawmakers to provide the information needed by the Legislature to decide if and how CPRIT should move forward. In addition, an exhaustive review of all grants awarded by CPRIT verified that all appropriate processes and procedures had been used and that no conflicts of interest affected the outcome of any grant making decision.

The result, Senate Bill 149, modified CPRIT's enabling legislation to restore trust in the Institute and improve transparency of agency operations and to incorporate recommendations made in a January 2013 state management audit. The legislation codified prior CPRIT administrative code provisions and established strict conflict of interest and process compliance procedures, enforced through numerous checks, balances and certifications that all requirements are met prior to any grant awards being made.

Senate Bill 149 also reconstituted the Oversight Committee of the Institute. As part of the legislative "reset," three members of the Oversight Committee are now physicians or scientists with extensive experience in the field of oncology or public health; others include cancer survivors or family members of cancer patients. To accommodate these requirements, the Legislature replaced all Oversight Committee members serving

prior to the effective date of the Act (June 14, 2013). New Oversight Committee members were appointed in the fall of 2013.

In October 2013 state leadership lifted the suspension of CPRIT's grant awarding and review process. In November, the agency began finalizing contracts for previously approved awards that had been affected by this moratorium and carefully resumed its grant solicitation, review and awarding processes.

CPRIT became fully operational by the end of November 2013 and is expected to make full use of its FY2014 appropriations. However, many measures related to this strategic plan are impacted as a result of the 2013 "moratorium" and related statutory and audit implementation.

One new requirement is relevant to this and future iterations of CPRIT's strategic plan. The Oversight Committee must establish annual priorities within and between the research, prevention, and product development grant programs. This endeavor, which at this writing is only just beginning, will make it possible for future CPRIT strategic plans and annual reports to provide additional information to evaluate its performance and progress in meeting its goals.

As CPRIT resumes its work, the Oversight Committee and staff are committed to new levels of transparency, accountability, integrity and adherence to its intricate processes in the conduct of Texans' business.

External Assessment

Groups of People Served by CPRIT and of Priority and Other Service Populations Under Current Law

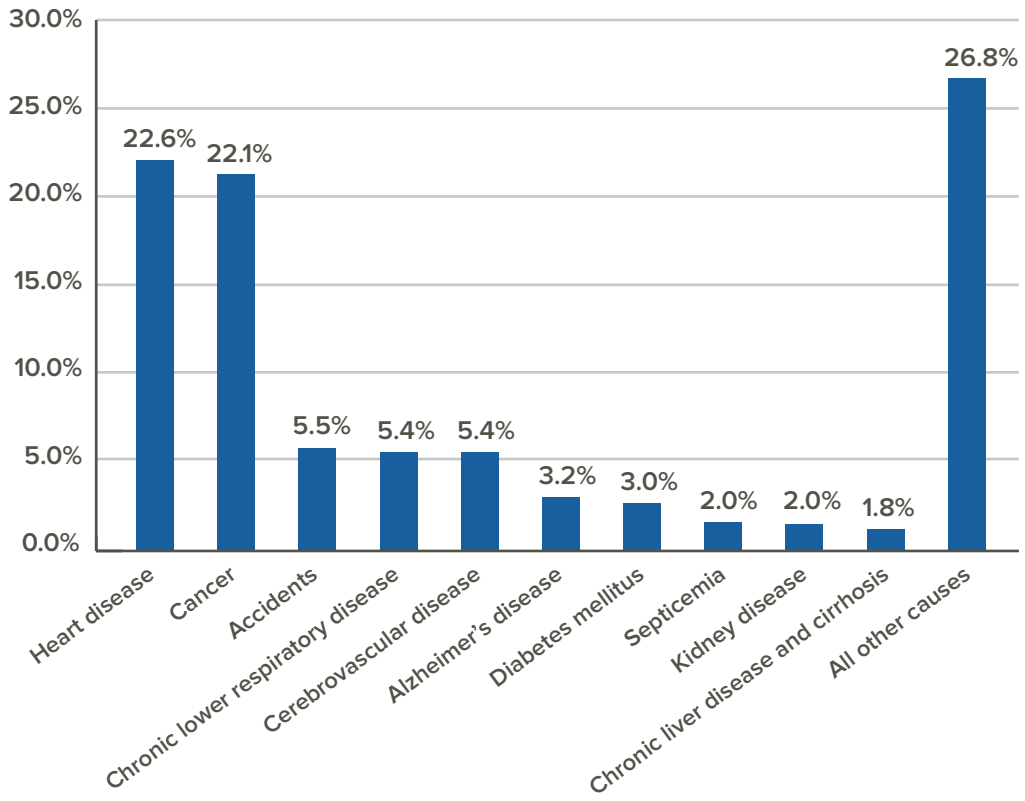
CPRIT was constitutionally created to benefit all Texans. Every Texan is affected by cancer since each person either has or will have cancer or has or will know someone with cancer. CPRIT's programs are designed to find the causes and cures of and to mitigate all types of cancer in humans.

Despite advances, cancer remains the second leading cause of death in Texas, accounting for nearly one of every four deaths (Figure I).[1] It is estimated that in the early part of the 21st century, cancer will overtake heart disease as the leading cause of death in the United States. In 2014, an estimated 44,150 Texans will die from cancer, which equates to more than 120 Texans dying each day. The number of patients with a newly diagnosed cancer is expected to exceed 119,000 in 2014.[2] A cancer diagnosis often means lengthy, costly treatments, many of which are debilitating, painful, and exhausting. And the financial costs in medical care and lost productivity are staggering, bankrupting families and burdening health care systems. In Texas, a conservative estimate of the annual cost of cancer is $30.4 billion in direct medical costs and morbidity and mortality losses. The total cost to the Texas economy, including the multiplier effects on business activity, are approximately $150.9 billion in reduced annual spending, $74.4 billion in output losses per year, and 747,850 lost jobs.[3] The totals represent about 5% of the total Texas economy. As the population increases, new treatments are discovered, and survival rates continue to increase, it is expected that costs will continue to rise.

COST OF CANCER

- Annual direct cost of cancer is $30.4 billion
- Comprehensive costs of cancer to the Texas economy:
  - $150.9 billion in reduced annual spending
  - $74.4 billion in output losses per year
  - 747,850 lost jobs

Figure I – Ten Leading Causes of Death in Texas, 2011



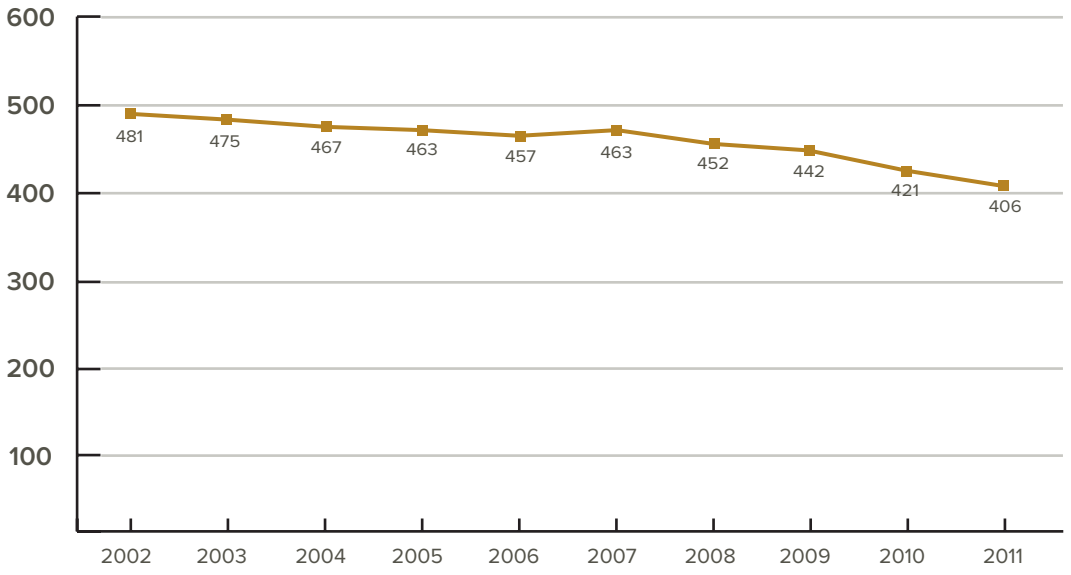
Source: Texas Department of State Health Services, Center for Health Statistics, ICD-10 Death Statistics for the State of Texas, 2011.

Cancer represents potentially hundreds of distinct diseases, all characterized by uncontrolled reproduction of abnormal cells in the body. Each type of cancer possesses distinct risk factors and manifestations that necessitate different prevention measures and treatments. Some cancers are preventable, while others are successfully treated—even cured—if detected early enough. Survival rates vary greatly, depending on cancer site, stage at diagnosis, access to care, and a host of individual factors. There is no single cause or cure for cancer.

In 2013, the American Cancer Society, the Centers for Disease Control and Prevention, the National Cancer Institute, and the North American Association of Central Cancer Registries issued the Annual Report to the Nation on the Status of Cancer, 1975 – 2010. According to the report, cancer death rates in the United States decreased 1.8% per year among men and an average 1.4% per year among women, and by 2.1% per year among children ages 0 to 19 for the time period, 2001-2010.[4] This decrease was observed in Texas as well.[2] The decline is credited to wider use of screening and early detection methods and better treatments that have extended life expectancy after diagnosis. To accelerate this trend, CPRIT invests in research and prevention efforts to help Texans reduce their risk of developing cancer, or detect it early, when treatments are more successful and less costly. One of CPRIT's goals is to enhance public access to evidence-based prevention programs and services throughout the state.

Incidence: Although cancer incidence rates in Texas are decreasing (Figure II), the number of new cancer cases is rising as the population of the state continues to age and grow.[2]

Figure II – Trends in Cancer Incidence Rates in Texas, 2002-2011



*Source: Texas Department of State Health Services, Texas Cancer Registry, Incidence – Texas, 1995-2011, Cut-off 11-30-13, SEER*Prep 2.5.2 (Confidential – Linked to County Attributes – Texas, 1969-2005.*

In 2014, an estimated 119,115 Texans will be diagnosed with cancer. Among those:

- 17,348 Texas women will be diagnosed with breast cancer;
- 17,991 Texas men will be diagnosed with prostate cancer;
- 15,520 Texans will be diagnosed with lung cancer;
- 10,944 Texans will be diagnosed with colorectal cancer;
- 5,081 Texans will be diagnosed with melanoma, a form of skin cancer; and,
- 1,253 Texas women will be diagnosed with cervical cancer.

Cancer is manifested differently in children, the most common cancer sites being blood and bone marrow, brain, lymph nodes, nervous system, kidneys, and soft tissues. An average of 1,423 children and adolescents younger than 20 years old are diagnosed with cancer each year in Texas.

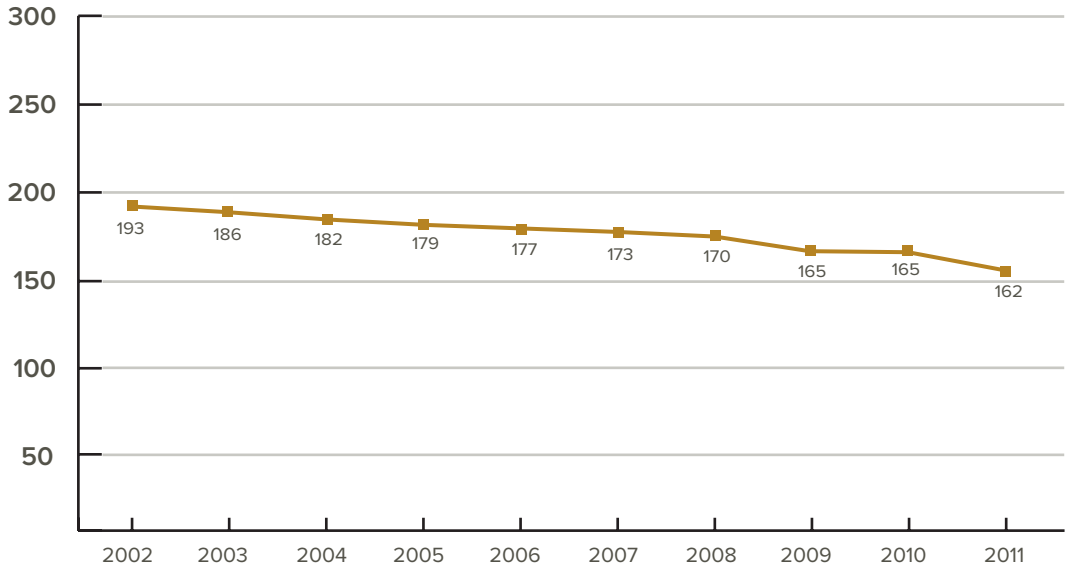
Mortality: The overall cancer mortality rate in Texas decreased by an average of 1.9% a year from 2002-2011 (Figure IV).[2] Similar to cancer incidence, as the population ages and grows, the number of deaths will continue to increase even as the rate decreases. It is estimated that just over 44,000 Texans will die from cancer in 2014. Among the leading causes (based on projections):

- 11,257 Texans will die from lung cancer;
- 4,142 Texans will die from colorectal cancer;
- 3,178 Texas women will die from breast cancer;
- 2,745 Texans will die from pancreatic cancer; and
- 2,113 Texas men will die from prostate cancer.

Figure III – Cancer Mortality in Texas by Sex, 2011

	Total Deaths	Male	Female
All Deaths	167,997	85,728	82,269
Deaths Attributable to Cancer	37,121	19,862	17,259
Percent Cancer	22.1%	23.2%	21.0%

Figure IV – Trends in Cancer Mortality Rates in Texas, 2002-2011

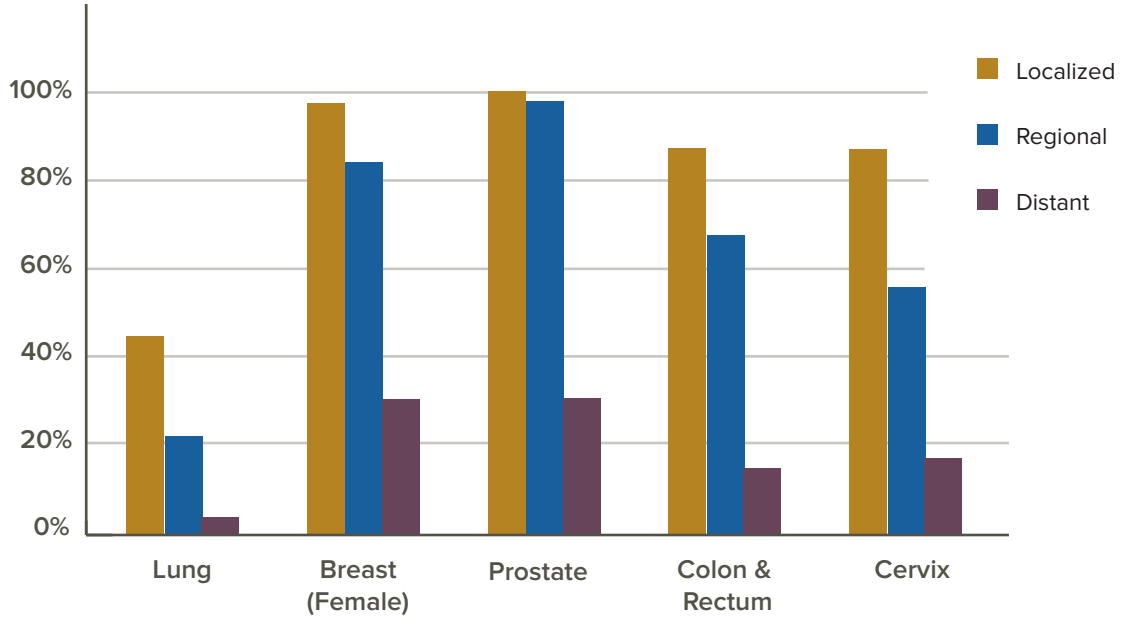


*Source: Texas Department of State Health Services, Texas Cancer Registry, Mortality – Texas, 1990-2011, SEER*Prep 2.5.2 (created 02/26/14) - Linked to County Attributes – Texas, 1969-2005.*

Cancer is the leading cause of death from disease among children in Texas and the United States. Approximately 13% of all deaths in children between the ages of 1 to 14 were attributable to cancer in 2011.[1]

Survivors: In 2010, 488,114 Texans who were diagnosed with cancer in the last 10 years are alive today.[2] Survival differs greatly by the type of cancer and the stage at which the cancer was diagnosed. As Figure V below indicates, five-year survival rates for lung, breast, prostate, colon and rectum, and cervical cancers drop substantially once the cancer spreads beyond the local tumor. Early detection and effective treatments for these cancers greatly improve five-year survival rates.

Figure V – Five-Year Relative Survival Rates by Stage at Diagnosis in Texas 2002-2011



Source: Texas Department of State Health Services, Center for Health Statistics, ICD-10 Death Statistics for the State of Texas, 2011.

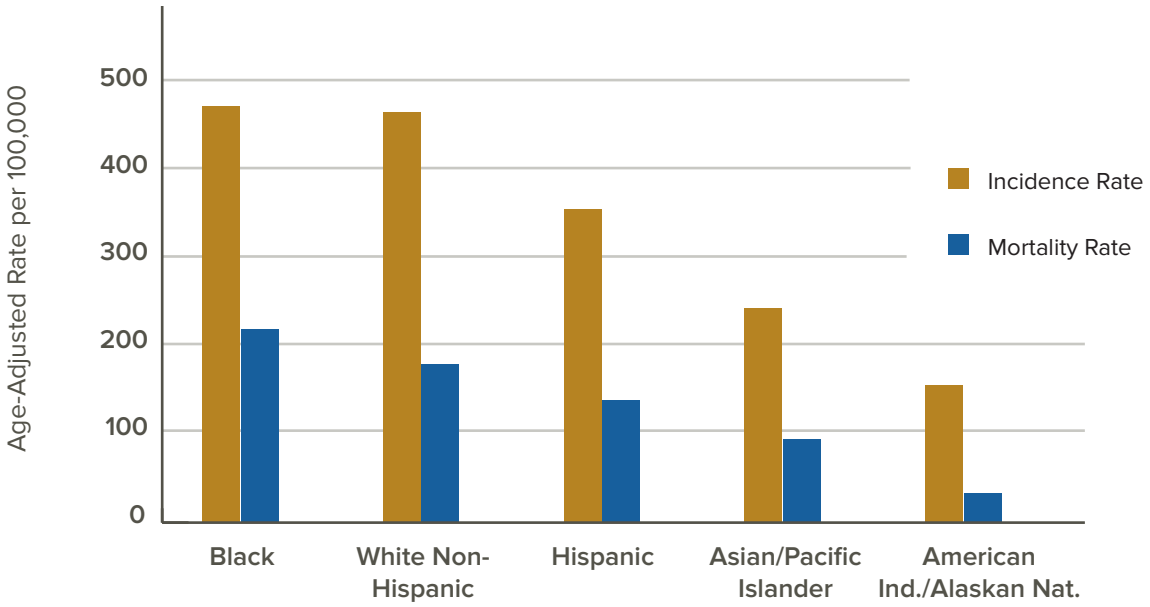
Due to advances in diagnosis and treatment, children with acute lymphoblastic leukemia now have at least an 80% five-year survival rate.[2] The recent phenomenon of children surviving cancer is causing a host of new questions and policy issues related to their long-term development, education, and insurance coverage needs, as well as research into relative risks for developing new cancers later in life.

Cost: In addition to improving survival chances, detection of cancer at an early stage can significantly reduce the cost of treatment, suffering and lost productivity. Cancer costs may contribute up to 6% of total health care expenditures in the United States.[4] The estimated annual cost of cancer in Texas is $30.4 billion, and costs vary substantially across regions of the state and by cancer sites.[3]

Cancer Disparities: Underserved segments of the Texas population are affected by cancer to a greater degree. Some racial and ethnic groups are more likely than others to have cancer discovered at a later stage, leading to higher mortality rates. Rural and low-income populations have geographic and financial barriers to accessing cancer prevention and treatment resources. Barriers are compounded by insufficient numbers of health professionals and facilities in many sparsely populated counties.

Race and Ethnicity: Cancer incidence and mortality rates vary by race and ethnicity (Figure VI). Differences in incidence and mortality rates in some populations result from differences in risk factors, access to screening and treatment, and need for culturally sensitive preventive health care.

Figure VI – Overall Cancer Incidence and Mortality Rates by Race/Ethnicity in Texas, 2007-2011



*Source: Texas Department of State Health Services, Texas Cancer Registry, Incidence – Texas, 1995-2011, Cut-off 11-30-13, SEER*Prep 2.5.2 (Confidential – Linked to County Attributes – Texas, 1969-2005. Texas Department of State Health Services, Texas Cancer Registry, Mortality – Texas, 1990-2011, SEER*Prep 2.5.2 (created 02/26/14) - Linked to County Attributes – Texas, 1969-2005.*

Blacks bear an excess burden of cancer overall with cancer incidence and mortality rates that exceed those of whites and other racial/ethnic groups. Both black men and women were diagnosed with colorectal cancer at a rate almost 1.4 times greater than that of non-Hispanic white men and women; colorectal cancer mortality rates were about 1.7 times higher than those of non-Hispanic whites. Prostate cancer incidence and mortality rates were also greater than those of non-Hispanic whites; incidence rates were 1.4 times greater and mortality rates were 2.2 times greater.[2]

Disparities in incidence and mortality among racial and ethnic groups differ by cancer site as well. For example, Hispanic women have the highest incidence rates of cervical cancer compared with other racial/ethnic groups, followed closely by black women, while black women suffer slightly higher mortality rates for cervical cancer than other racial/ethnic groups.[5]

Income: Low-income populations face financial barriers to accessing cancer prevention and treatment resources. At least 17% of the people in Texas live below poverty level, compared to the national rate of 15%. The median household income in Texas in 2011 was $51,563. In addition, Texas has the highest percentage of uninsured population of any state, estimated at 24% in 2012, or approximately 6.25 million people.[6]

Age: The risk of developing cancer increases with age; adults in mid-life or older are most affected. In Texas, as in the nation, the growing number of older adults will increase the number of people affected by cancer, thereby making present-day prevention efforts imperative.

Over 95% of cancer deaths occur among Texans who are age 45 years or older.[7] With the maturing of the Baby Boom generation, cancer deaths will increase unless the trend is reversed by breakthroughs in cancer knowledge and treatment, and significant improvements in prevention and early detection occur for those most at risk.

Geographic Areas: Texas is unique, with more than 260,000 square miles and a vastly diverse population. Rural patients often must travel hundreds of miles to access prevention, detection, or treatment services. Cancer incidence and mortality rates vary by geographic area. The reason for these differences is likely due to varying cancer risk factors, tobacco use and population demographics of an area, including age, racial/ethnic makeup, income, and insurance coverage.[5]

Disparities exist in the 38-county area of South Texas where 81% of the population is of Hispanic ethnicity.[7] Cancer incidence is higher (compared to the rest of Texas) for such cancers as stomach, liver, and cervix.[2] An estimated 33% of adults from South Texas are uninsured, more than double the national average. Two critical care issues facing this region are lack of health insurance and a shortage of health care providers.

Rural Texans are also medically underserved. Rural Texans tend to be older, have less income, and are less likely to have insurance than their urban counterparts. Residents of rural areas often have less contact and fewer visits with physicians and, in general, lower levels of available preventative care.

Analysis of Agency Resources for Meeting Current Needs and Expected Needs

CPRIT receives annual funding from the Legislature in the General Appropriations Act. Appropriated amounts are affected by two legal provisions. Article III, Section 67(c) of the Texas Constitution limits the sale of general obligation bonds in amounts not to exceed $300 million per year. V.T.C.A., Health and Safety Code Section 102.253 limits the Oversight Committee from awarding more than $300 million per year. The Legislature historically has authorized and appropriated the maximum $300 million in bond proceeds per year. This appropriation meets current funding needs and if continued, should meet future funding needs.

However, from the annual appropriation of $300 million, CPRIT is required by rider provision to transfer $2,969,554 to the Department of State Health Services to fund the Texas Cancer Registry. This transfer reduces the amounts available to CPRIT for finding cures and alleviating the impact of cancer. If other funds were made available to fund the registry, CPRIT could increase by nearly $3 million per year its awards for prevention and research activities.

At this writing, the currently authorized 32 full-time equivalent positions are projected to be sufficient for at least the first two years of the period covered by this strategic plan. However, staffing needs may be affected by changes in informational technology requirements (see discussion on capital needs below).

Analysis of Expected Changes in Services Provided by CPRIT Due to Changes in State or Federal Law

Legislation from the 83rd Texas Legislature, Regular Session, made significant changes to CPRIT's governance, grant approval processes, conflicts of interest and ethics requirements, and creation of a compliance

program. These changes impact administrative activities of the agency and substantially increase software programming for major in-house and contracted grant management systems. Major administrative and other cost elements include:

- Hiring a chief compliance officer and developing a compliance program to ensure that all applicable laws, rules and procedures are followed in the grant award process and post-award administration.
- Requiring the Oversight Committee to establish priorities within and between grant programs.
- Changing the authority of the Oversight Committee from allowing two-thirds of the members to override award recommendations to a two-thirds vote to affirmatively approve award recommendations.
- Requiring scoring and documentation of factors considered in making each award and adding trained patient advocates on peer review committees.
- Reducing the authority of the Chief Executive Officer (CEO) by establishing a five-member Program Integration Committee (PIC) to review all grants after initial reviews by the various peer review committees and prepare a list of recommendations to the Oversight Committee.
- Requiring the CEO to submit to the Oversight Committee a written affidavit for each grant award recommendation containing information about the peer review process, score, and any applicable due diligence or intellectual property reviews.
- Establishing a system to document and justify increases in peer reviewer honorarium and implement a policy on in-state or out-of-state residency requirements for peer reviewers.
- Requiring the Oversight Committee to adopt a code of conduct to apply to the Oversight Committee, CPRIT employees, and PIC members.
- Strengthening rules prohibiting business relationships among grantees and CPRIT employees, Oversight Committee members, and peer reviewers.
- Prohibiting CPRIT employees from having offices located at facilities owned by entities receiving or applying to receive funding from CPRIT.
- Requiring the chief compliance officer to track and monitor grant recipient reporting, and to verify grant recipients' matching funds annually.
- Establishing procedures to confidentially report and investigate compliance violations.

CPRIT's administrative code provisions increased from 40 to 103 pages to implement changes in state law and the recommendations of a January 2013 State Auditor's Management Report. In the expansion CPRIT adopted or revised 37 administrative rules.

None of the federal changes to health care pursuant to the Affordable Care Act impact CPRIT.

Broad Summary of the Capital Improvement Needs of CPRIT between 2015 and 2019

Pursuant to a provision attached to CPRIT's 2014-15 appropriations the agency was required to move from its current leased space to state-owned facilities by the end of December 2013. Delays related to construction of state-owned space for another state agency changed the date to August 2014. As of this writing the

move is now postponed until February 2015. However, due to the end of the current un-extendable lease, this second delay will require CPRIT to relocate its offices twice, first to short-term leased space and then to the state-owned facility.

Although the original relocation plan is fiscally prudent it alone would have been extremely disruptive to CPRIT's operations and could have resulted in extended periods without full or satisfactory access to information technology and other resources. Two moves within a six month period should be doubly disruptive.

These moves could negatively impact CPRIT's schedule for issuing FY2015 Requests for Applications, peer review, and other agency timelines thereby threatening the August and November 2014 Oversight Committee meetings as well as the February 2015 meeting. As a result, CPRIT may be hindered in its ability to use prudently all of its 2015 appropriations available for grant awards and thereby further delaying accomplishment of the agency's mission. Ability to meet legislative performance targets might be reduced as well. Although CPRIT will do everything within its power to minimize the negative effects of multiple relocations, some detrimental impact to its operations and schedule should be expected.

CPRIT currently uses an outside contractor for much of its intricate grant award peer review process. This $7.7 million annual contract includes major systems development and operation for release of Requests for Applications, application submission, application peer review, Program Integration Committee review, Oversight Committee review and approval, contracting, and post-grant policy review and compliance monitoring. Many of the software applications for this process are proprietary to the specific contractor and built upon legacy platforms that were about 10 years old when the contract began in 2009. The initial contract period is ending. To separate what belongs to CPRIT and what belongs to the contractor to competitively procure individual components or the entire system currently requires substantial CPRIT staff time and additional contractor vendor costs. The time frame and the specifications of a new request for proposals are not currently known. However, one approach that will be considered is outsourcing the design and construction of a completely new system that will then be operated by CPRIT state employees. The impact on staffing levels and administrative costs may not be known until well into FY2015 at the earliest.

Identification of Each Geographic Region of Texas Served by CPRIT, Including the Texas-Louisiana and the Trans-Mexico Border Regions

CPRIT's programs serve all 254 Texas counties and therefore all geographic regions. Prevention programs are largely responsible for this widespread geographic dispersion. Research grants are highly clustered in counties in which major health-related institutions and general academic teaching institutions with major health-related research activities exist, such as Harris, Bexar, Dallas, Tarrant, Lubbock, Brazos, Travis, and El Paso.

Targeting specific geographic regions and demographic groups will be discussed in the aforementioned Oversight Committee program prioritization activity mandate in state law.

Strengths, Weaknesses, Opportunities, Obstacles

CPRIT has a multitude of strengths upon which to draw. First is its rigorous, detailed, multi-step, accountable, documented peer review process led by teams of basic scientists, physician-scientists, clinical researchers, product development entrepreneurs, public health professionals, health care providers, and patient advocates. To qualify for a CPRIT peer review panel one must have attained a regional and national reputation in one's chosen field. Those invited to review must be willing to commit to hours of rigorous intensive review of applications and the intellectually challenging discussion with peers concerning the academic, health care, and translational research potential of hundreds of proposals received by CPRIT each year. A recommendation for funding by these experts is considered highly prestigious.

CPRIT has a small but highly qualified full-time staff. Each program is led by a career professional leader with a terminal degree who through decades of substantive related experience has achieved national recognition in his or her own right. These individuals lead teams fiercely dedicated to the agency's mission. Many of these team members are cancer survivors and know first-hand what the battle against cancer entails.

Thanks to the foresight of the citizens of Texas and their legislature, CPRIT has a secure, dedicated funding stream that is relatively insulated from the vagaries of national or state economic cycles.

CPRIT is fortunate to have numerous prestigious Texas universities from which originate the hundreds of applications for CPRIT support. These institutions form a broad and deep health care and product development intellectual base from which innovative and considered research emerges. Within these institutions every known type of cancer and field within the life sciences are represented, recognized, and studied.

Perhaps the greatest strength is the pioneer spirit that is uniquely Texan. This spirit led to the foresight and compassion to establish a world-class enterprise to study one of the great problems of humankind—mitigating and ending human cancers.

CPRIT identifies no weaknesses in either its external or internal environment preventing it from achieving its mission. CPRIT recognizes only opportunities in the human intellectual capital within its peer review panels, the state and national product development community, health care providers, and the academic institutions of Texas. In addition, opportunity abounds due to the generosity and trust in the renewal of CPRIT's mission by the Texas Legislature in 2013.

Obstacles to the CPRIT enterprise are miniscule compared to the opportunities, but they do exist. Paramount are several budgetary restrictions affecting approval of fiscal operations, including the use of unexpended balances from prior years and transferability of agency funding between line items of appropriation. In addition, secondary approval of agency contracts by the Legislative Budget Board beyond that required by its fiscally responsible governing board is unnecessarily redundant and time consuming. Delays resulting from this approval have affected the ability of the agency to move quickly in addressing the goals set out for it by the citizens of Texas and the full Legislature. CPRIT recognizes why these restrictions were placed on its 2014-15 appropriations but hopes that the agency's rapid responsiveness not only in action but spirit

in implementing the recommendations of the State Auditor in his January 2013 management report and the provisions of Senate Bill 149 indicate an ability and trustworthiness as responsible stewards of public funds that obviates the need for such restrictions in 2016 and beyond.

Other obstacles include the aforementioned relocation of the agency's offices and information technology reevaluation and re-procurement. The former will be resolved with time; the latter will require serious deliberation and reevaluation of resources, needs, and expertise available within and without the agency in the months ahead.

Customer Service Satisfaction Survey

CPRIT is accountable to a broad range of important stakeholders — from the Texas Legislature and state leaders, to the researchers and clinicians on the front lines in the conquest of cancer, to the Texans living with cancer and its impact on families and communities, to the citizens who have entrusted their tax dollars to the fulfillment of the agency's mission.

More directly, CPRIT's customers are the applicants and recipients of its grants, and their perceptions of agency operations are reflected in CPRIT's 2014 customer satisfaction survey (detailed in the "Report on Customer Service" included as Appendix F). These customers reported neutral-to-positive levels of satisfaction with key components of CPRIT's customer service, with the highest ratings offered for the grants application and review process, feedback to applicants, and the help desk serving grantees using CPRIT's online grants management systems.

The major opportunity for improvement suggested by the survey is with post-award grant monitoring. This is not entirely unexpected, since this phase of the CPRIT grantee experience has been most extensively affected by the new rules, policies and procedures, and statutory requirements enacted in 2013 by the Texas Legislature and adopted by CPRIT in response to the January 2013 State Auditor's report on agency operations.

The agency is already implementing strategies — including additional and reorganized staffing, training of grantees in new requirements and, where appropriate, refinements to rules and procedures — that should help improve the customer experience in this area. In addition to the above-cited satisfaction measures, the CPRIT survey also collected a substantial amount of narrative data via respondent comments, many of which identified specific process improvements that are being considered by the agency.

CPRIT's agency-specific strategies and measures do not make direct reference to customer service. The agency realizes that its requirements of grantees are often rigorous — and necessary to meet the appropriate expectations of Texans for transparency, accountability, and strong governance. However, CPRIT also realizes that an effective, efficient and mutually satisfactory customer experience will facilitate the agency's performance of its main strategies and main mission — investing Texans' money wisely in research, prevention and product development efforts to reduce the burden of cancer. As such, CPRIT welcomes the feedback it has received as an opportunity to pursue continuous improvement in customer service.

Promotion of Competitiveness

CPRIT is infused by a can-do competitive entrepreneurial spirit. CPRIT's grant making is a 100% merit-based competitive process. CPRIT promotes healthy competition between and within academic institutions and companies and between and among researchers and entrepreneurs. CPRIT's administrative code provisions promulgate competitiveness through the peer review process. However, CPRIT also encourages constructive collaboration among researchers, universities, health care providers, and private sector enterprises in seeking its merit-based awards.

CPRIT is confident that no other Texas state agency is as driven by the spirit of intellectual and entrepreneurial competition as is CPRIT.

Internal Assessment

Projected Programmatic Changes

In some respect, CPRIT can be characterized as a passive strategic fund in contrast to other state investment programs such as the Texas Enterprise Fund and the Texas Emerging Technology Fund housed in the Office of the Governor. Those funds can be used proactively at the direction of state leadership to affect specific goals, targets, or purposes. CPRIT, on the other hand, can only respond to the applications it receives through its issuance of Requests for Applications (RFA). CPRIT can call for certain types of projects in its RFAs but it can only fund those that are recommended after going through the established competitive and rigorous peer review process. If no applications are made in response to an RFA, CPRIT cannot proactively solicit them.

Changes to CPRIT's enabling legislation in 2013 require for the first time that the Oversight Committee publicly develop priorities within and between the three programs. This will provide transparency in how the Oversight Committee plans to orient the agency's investment portfolio between and within the programs. It will also guide the staff in developing RFAs for each fiscal year. Once developed, the Oversight Committee priorities are to be reviewed and adjusted annually as circumstances change and new information is found concerning cancer-related advances in prevention, scientific research, and product development.

As a result of these factors, changes to each program should be expected.

Fiscal, staffing, and capital resource needs to accommodate programmatic changes will occur to some degree over time. These items have already been addressed in the External Assessment.

Use of Historically Underutilized Businesses (HUBs) in Agency Purchasing and Public Works

CPRIT is committed to assisting the state to improve business opportunities for HUBs and details of the agency's progress are contained in the section "Historically Underutilized Businesses."

CPRIT's ability to improve its HUB goals is limited by the types of vendors available for the service needs of

the Institute. In particular, CPRIT's professional services are dominated by the $7.7 million per year contract with SRA International, Inc., which provides pre-and post-award grant management support services. In 2014 CPRIT was able to procure professional services to perform the independent audit of the agency's FY2013 financial statements from a HUB vendor, McConnell & Jones LLP, a Houston area accounting firm. CPRIT requires HUB preference in its contracts with grantees. Grantees must use reasonable efforts to purchase materials, supplies or services from HUB vendors. Additionally, grantees are required to report annually details concerning the types of good or services and actual dollars expended with HUB vendors. Presently, those data are not in a format that allows the Institute to extract and compile it. However, CPRIT is working to improve its collection and analysis of these data.

CPRIT believes its most effective program for providing access to underrepresented individuals in cancer-related professions is through the use of its Training Awards RFAs. These awards sustain specialized cancer research training programs to promote the next generation of investigators and leaders in cancer research. Individuals from underrepresented racial and ethnic groups, individuals with disabilities, and individuals from disadvantaged backgrounds are especially encouraged to participate in these programs. To date, CPRIT has made seven of these awards totaling $29.5 million.

CPRIT is also committed to diversity in its own offices. Six of its 10 highest paid employees are women. Four out of seven members of the senior staff are women. In a related note, due to CPRIT's current Chief Scientific Officer's esteemed position within the scientific community, particularly as a champion of diversity in the workplace, the Kripke Legend Award was established at MD Anderson Cancer Center to honor individuals who have enhanced the careers of women in cancer medicine and cancer science.

Steps Taken to Ensure Fiduciary Responsibility and Accountability

In addition to having what it believes to be the strictest ethics policy for its board and staff among all state agencies, CPRIT has developed a rigorous compliance program for agency and board operations and the grant making and post award monitoring processes. As of this writing, CPRIT is evaluating proposals to develop further enhancements to its compliance plan which are expected to be implemented during this 2015-2019 Strategic Plan time frame. Also as of this writing, CPRIT is recruiting a full-time staff director of internal audit to conduct on-site audit activities and to manage CPRIT's on-going outsourced internal audit contract.

CPRIT Peer Review Process

An understanding of CPRIT's internal processes is necessary to understand the emphasis on CPRIT's merit-based competitive orientation. In many respects CPRIT's peer review process is modeled on best practices of the National Institutes of Health (NIH), but with a few significant differences. The chairs of CPRIT's peer review panels are recruited by CPRIT's chief program officers and are senior, highly respected members of their respective fields. Panel members are recommended by these chairs and represent outstanding members of the scientific, prevention, and product development communities.

CPRIT uses only reviewers who are well established in their professions and have achieved recognition

in their areas of expertise, whereas NIH uses a spectrum of reviewers at various stages of their careers. As such, CPRIT reviewers are well positioned to recognize new talent and innovation. Unlike NIH peer reviewers, CPRIT reviewers are ineligible for CPRIT awards, adding an element of objective detachment unavailable in the NIH process.

Through its peer review process, CPRIT seeks to achieve the applicable statewide goals identified by Governor Perry in *Strengthening Our Prosperity: The Statewide Strategic Planning Elements for Texas State Government.*

Rigorous, independent, merit-based peer review is the foundation of all of CPRIT's grant programs and the primary means for ensuring that the Institute wisely invests public funds in research, product development, and prevention programs with the greatest potential impact on cancer. From the Institute's initiation, the peer review process has included multiple safeguards to address potential conflicts of interest and ensure both fairness and accountability. Further enhancements were made to the process in FY2013 pursuant to the recommendations of the State Auditor and the provisions of Senate Bill 149.

The following are the major steps in the review process currently in effect for all programs.

Step One: Request for Applications

The initial step in the CPRIT funding cycle is the release of a Request for Applications. The request includes important information about submitting the proposal to CPRIT, including applicable deadlines, requirements, evaluation criteria, and special considerations related to the grant award. CPRIT publishes all open requests on its website and in the *Texas Register* and sends an announcement about any new releases to subscribers of CPRIT's email newsletter. Only proposals submitted by Texas-based academic institutions, organizations, or companies, or those entities that demonstrate they will relocate to Texas if they receive a CPRIT grant award are eligible for CPRIT grant awards.

Step Two: Applying Online

All applicants must use CPRIT's online application system (https://cpritgrants.org) to electronically submit proposals to CPRIT. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award, and applications are eligible only for the grant mechanism under which the grant application was submitted. An applicant creates a user account and designates an individual at their institution or organization with the authority to approve the submission of the proposal. Applications that are submitted by the deadline are checked for compliance against the application's administrative requirements. Applications may be rejected at this step if they are not in compliance.

Step Three: Grant Proposal Review

Experts and advocates in the field of cancer research, product development and cancer prevention are provisionally appointed to the peer review committees by CPRIT's Chief Executive Officer and approved by the Oversight Committee. To minimize the potential for conflicts of interest in the review process, all research and prevention peer reviewers live and work outside of the state. Peer review members are

assigned to panels in their area of expertise. At least one patient advocate reviewer is assigned to each panel. A list of members by panel is on CPRIT's website (http://www.cprit.state.tx.us/grants-process/peer-review-committees/). CPRIT uses a two-stage peer review process to evaluate grant applications. These stages include: A) evaluation of grant applications by peer review panels; and B) prioritization of applications by the Prevention, Product Development or Scientific Review Council.

A. An eligible application undergoes a rigorous peer review where all aspects of the proposal are assessed by (usually three) primary reviewers on the same panel who provide an individual overall score. After all proposals are individually reviewed, the full peer review panel (usually 12-15 reviewers) meets to discuss the applications. If there is insufficient time to discuss all grant applications, the peer review panel chair determines which applications are to be discussed by the panel. After discussion, each panel member provides individual overall scores that are averaged to provide a final overall score. Based upon the discussion and scores, the peer review panel develops a rank ordered list of applications it recommends for grant awards.

B. At the second stage of review, each program's review council considers and prioritizes the recommendations of each of the peer review panels by assigning a numerical ranking score to each application discussed by the review panel. The council specifies and explains changes, if any, to the grant applications' goals, objectives, budget, or timeline recommended for a grant award. The numerical ranking score takes into account the final overall score, how well the grant application achieves program priorities set by the Oversight Committee, the overall program portfolio balance, and any other criteria described in the Request for Applications. The review council determines which proposals will be recommended to the Program Integration Committee and Oversight Committee for funding.

If CPRIT receives a significant number of proposals for a particular grant award mechanism, the peer reviewers may narrow the application pool by conducting a preliminary evaluation process prior to the initial review process described above in A. In the preliminary review, assigned peer review panel members (usually three) conduct the preliminary evaluation for a grant application based on a review of the abstract, budget, and Principal Investigator biosketch; they then provide a preliminary score based on the criteria stated in the Request for Applications. The peer review panel chair determines grant applications that move forward to initial review based upon preliminary evaluation scores. A grant application that does not move forward to initial review is removed from further consideration.

The review process for recruitment of researchers and clinicians is described in the Research Review Process (see Figure VII). The additional process steps for Product Development grant applications are described in the Product Development Review Process (see Figure VIII). Proposals for prevention awards undergo a programmatic review process described in Figure IX.

Step Four: Program Integration Committee

The Program Integration Committee (PIC) is composed of the Chief Executive Officer, the Chief Scientific

Officer, the Chief Product Development Officer, the Chief Prevention Officer and the Commissioner of State Health Services. The PIC considers the prioritized list of grant applications submitted by the program review councils and approves by a majority vote a final list of grant applications to be recommended to the Oversight Committee for funding.

In composing the final list of grant applications recommended for funding, the PIC must consider the items specified in law.

The Program Integration Committee's decision to not include a grant application on the prioritized list of grant applications submitted to the Oversight Committee is final.

Step Five: Oversight Committee Action

Two-thirds of the Oversight Committee members present and voting must approve each grant award recommendation submitted by the Program Integration Committee. The total amount of money approved to fund a multiyear project must be specified and the CEO's recommendation, if any, regarding an advance of grant award funds must be approved by a majority vote of the Oversight Committee.

If the Oversight Committee does not approve a grant award recommendation made by the PIC, the explanation must be recorded in the minutes of the meeting. The Oversight Committee may not award more than $300 million in grant awards in a fiscal year.

Step Six: Funded Grant Awards

All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements. Research grant recipients, including those receiving product development awards, must demonstrate that they have other funds dedicated to the project totaling at least half of the amount of the CPRIT award. All award contracts include an intellectual property agreement and terms related to revenue sharing with the state.

Research Program

Action Plan

The action plan of the CPRIT research program seeks to:

- Discover new information about cancer that can lead to prevention, early detection and cures;
- Translate new and existing discoveries into practical advances in cancer diagnosis and treatment; and
- Increase the prominence and stature of Texas in the fight against cancer.

The Institute has sought to support the most creative ideas and the most meritorious projects, without regard to cancer type or geographic distribution. This strategy has been implemented by assembling seven independent peer review panels that evaluate all proposals. The peer reviewers are selected from among the most prominent cancer researchers in the country, outside of Texas. They are charged to assess research proposals on the basis of scientific merit and potential impact on cancer. Each of the seven panels is chaired by a distinguished cancer researcher; together, these chairs make up the Scientific Review Council, chaired by a world-renowned scientist.

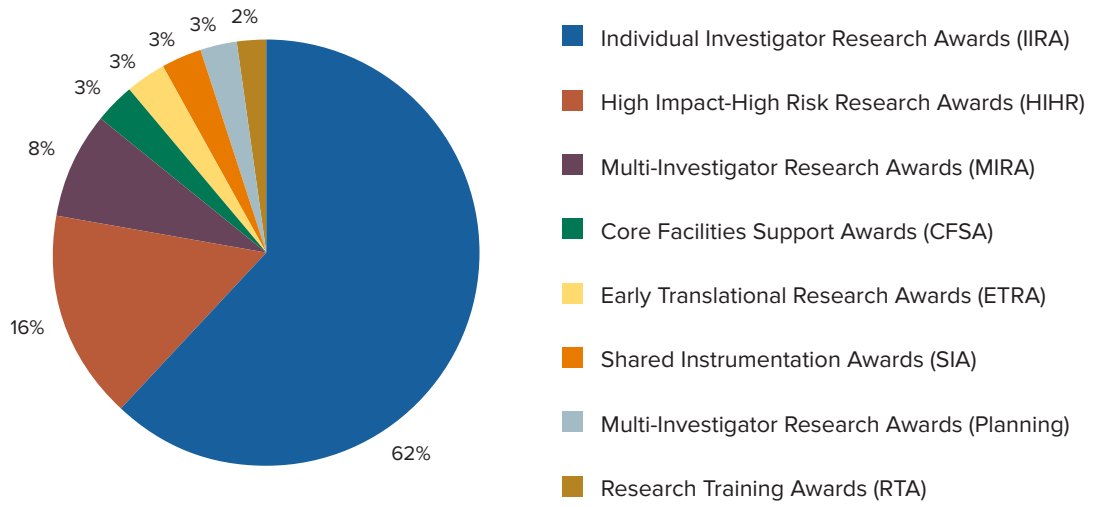
The Institute uses a variety of grant award mechanisms to achieve the goals of the research program:

- The Institute supports discovery by funding the research of independent investigators that has the potential to reduce the burden of cancer, and by funding innovative projects that are high risk, but with high potential impact on cancer.
- Translation of research findings to bring new advances in cancer prevention, diagnosis, and treatment is achieved through the support of individual investigator awards and early translational research awards.
- Multi-investigator research grants stimulate collaboration and bring together researchers and clinicians to work on a common problem in cancer.
- The Institute also funds infrastructure to support cancer research in the form of core facility and specialized instrumentation awards, as well as multi-investigator awards to create research resources.
- Building a critical mass of cancer researchers in Texas is addressed by supporting recruitment of cancer scientists and clinicians at all levels to academic institutions in Texas and through training programs in which pre- and post-doctoral fellows are educated to become cancer researchers.

Research Portfolio

As of this writing, since its inception, CPRIT has awarded 315 research grants, totaling more than $481 million in research program funding, along with recruitment grants totaling more than $169 million to bring 56 outstanding researchers and their teams to Texas. Real-time award counts and funding totals may always be found at www.cprit.state.tx.us.

Research Grant Distribution by Mechanism



As shown in the chart above, the majority (62%) of research grants funded by CPRIT support Individual Investigator Research Awards (IIRA). These 195 awards fund individual investigators who propose innovative research projects that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. These awards are highly competitive; only 10% of the applications received to date by CPRIT have been funded. Approximately $193 million has been awarded to 15 institutions in Texas for the IIRA grant program.

High Impact-High Risk (HIHR) grants (16% of the portfolio) fund two-year projects to explore new avenues in cancer research. Only a limited number of applications are accepted from academic institutions and only 13% of the applications submitted to date have been funded. Fifty-two HIHR awards have been made to 20 institutions, totaling more than $10 million.

The remaining 22% of the portfolio includes:

- Twenty-five (with four of the original projects receiving continuation grants funded for two additional years of support for existing projects) Multi-Investigator Research Awards (MIRA) that fund large-scale, cross-disciplinary research programs requiring both innovation and collaboration. CPRIT has awarded almost $194 million to these MIRAs, which in turn include 158 individual projects;

As well as the following smaller grant mechanisms that account for $72 million of CPRIT's research portfolio:

- Eight small MIRA Planning grants to facilitate coordination among institutions submitting comprehensive applications;
- Eight Shared Instrumentation Awards and 11 Core Support Facilities Awards that provide infrastructure to support the cancer research of many investigators;
- Seven Research Training Awards that support the training of the next generation of cancer researchers. Continuation funding for these seven grants was approved in February 2014 to provide an additional two years of support; and
- Nine Early Translational Research Awards that support projects leading to the development of cancer therapeutic agents, devices, or diagnostics. An administrative decision was made in May 2014 that Early Translational Research Awards will be transferred to CPRIT's product development program. Future reporting will reflect this change.

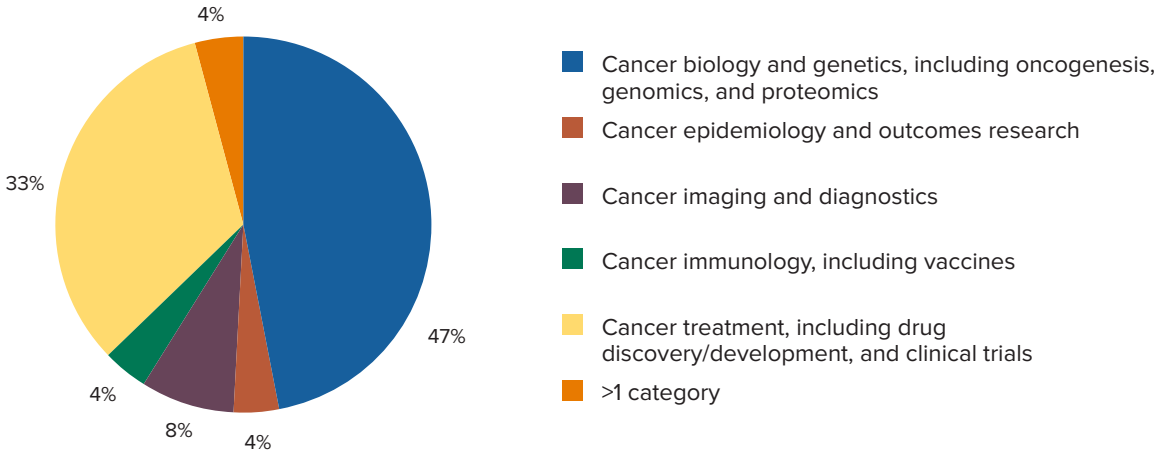
Active Research Grant Projects by Award Mechanism

Award Mechanism	Award Maximum/ Project Duration	Award Mechanism Description	Number of Active Projects	Total Award Amounts
High Impact-High Risk Research Awards (HIHR)	- Up to $200,000 - 2 years	Supports relatively short-term high-impact/high risk projects that are innovative, developmental, and/or exploratory in nature targeting new avenues of cancer research.	52	$10,342,469
Individual Investigator Research Awards (IIRA)	- Up to $500,000 - 3 years	Supports innovative research projects directed by one scientist that address critically important questions that will significantly advance knowledge of the causes, prevention, diagnosis, and/or treatment of cancer.	195	$193,744,261
Multi-Investigator Research Awards (MIRA)	- No maximum with appropriate justification - 5 years	Supports integrated programs of collaborative and cross-disciplinary cancer research among multiple investigators for projects that cannot be effectively addressed by individual researchers or a group of researchers within the same discipline.	25	$193,859,465

Award Mechanism	Award Maximum/ Project Duration	Award Mechanism Description	Number of Active Projects	Total Award Amounts
Multi-Investigator Research Awards-Planning	- Up to $25,000 - 8 months	Support to assist applicants for the Multi-Investigational Research Award to coordinate activities among several institutions submitting comprehensive applications.	8	$133,845
Research Training Awards (RTA)	- Up to $750,000/ year - 5 years	Supports training programs for predoctoral (PhD or MD/ PhD) and postdoctoral trainees committed to pursuing a career in cancer research. Also supports undergraduate summer research internships and Master's degree-level trainees.	7	$29,465,885
Shared Instrumentation Awards (SIA)	- Up to $3M for 1st Year, up to $300,000 subsequent years - 5 years	Supports the acquisition of major research instrumentation that cannot be requested through other CPRIT programs and whose purchase can be justified on a shared-use basis to support the goals of scientifically meritorious cancer research projects.	8	$12,436,069
Core Facilities Support Awards (CFSA)	- Up to $2M for 1st year, up to $1M subsequent years - 5 years	Supports centralized laboratories performing widely used technologies that serve the needs of multiple researchers.	11	$33,062,583
Early Translational Research Awards (ETRA)	- Up to $1M - 1-3 years	Supports projects that "bridge the gap" between the research laboratory and potential clinical applications, such as proof-of-principle research to guide the development of therapeutics, devices or diagnostic assays.	9	$8,283,557
TOTAL			**315**	**$481,328,134**

The subject matter of research grants is broad and encompasses nearly all areas of cancer research. Roughly 47% of the funded grants address problems in basic science, 33% involve translating research findings into clinical use or products for treating cancer, and the remaining 20% address cancer epidemiology and outcomes research, cancer imaging and diagnostics, and cancer immunology including vaccine development.

Distribution of Funded Grants by Research Area



Recruitment Grants

Building a critical mass of cancer researchers in Texas is addressed by supporting recruitment of cancer scientists and clinicians, at all career levels, to academic institutions in Texas and through training programs in which pre- and post-doctoral fellows are educated to become cancer researchers. Since its inception, CPRIT has supported the recruitment of 56 outstanding cancer researchers to 10 academic institutions in Texas. This program has been highly successful in enhancing Texas' cancer research efforts and increasing the external visibility of the state in this field.

Active Research Recruitment Grant Projects by Award Mechanism

Award Mechanism	Award Maximum/ Duration	Award Mechanism Description	Number of Recruits	Total Award Amounts
Recruitment of Established Investigators	- Up to $10M - 5 years	Support to recruit senior research faculty with distinguished professional careers and established cancer research programs.	14	$78,715,750
Recruitment of First-Time, Tenure-Track Faculty	- Up to $2M - 4 years	Support to recruit emerging investigators pursuing their first faculty appointment who have the ability to make outstanding contributions to the field of cancer research.	33	$64,792,505

Award Mechanism	Award Maximum/ Duration	Award Mechanism Description	Number of Recruits	Total Award Amounts
Recruitment of Missing Links	- Up to $2M - 5 years	Support to recruit investigators who can fill special and specific needs as critically important members of collaborative research teams.	3	$5,881,402
Recruitment of Rising Stars	- Up to $4.5M - 5 years	Support to recruit early-stage investigators who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.	6	$19,731,000
TOTAL			**56***	**$169,120,657**

** The CPRIT Oversight Committee has approved an additional 17 recruitment awards, but these awards are pending and awaiting the decisions of the recruits to accept or decline the offers of the institution.*

Prevention Program

Action Plan

Since its inception, the CPRIT prevention program has been guided by the following principles:

- Funding Evidence-Based Interventions. CPRIT funds prevention programs and services, for any cancer type, that are culturally appropriate for the target population and that are validated by documented research or applied evidence.
- Funding across the Prevention Continuum. CPRIT funds quality proposals focused on:
  - Primary prevention: reducing risk or preventing cancer from occurring (e.g. vaccine-conferred immunity, tobacco cessation);
  - Secondary prevention: early detection of cancer to prevent it from spreading and treating diagnosed cases when the opportunity for greatest success exists (e.g., screening/early detection for breast, cervical, and/or colorectal cancer); and
  - Tertiary prevention: reducing risk of recurrence and improving quality of life for survivors and families (e.g., physical rehabilitation/therapy, psychosocial interventions, palliative care).
- Reaching Underserved Populations. CPRIT funds programs and services aimed to help those in most need, including:
  - Underinsured and uninsured individuals, especially those who have never been screened for colorectal, breast, and/or cervical cancer or who have not been screened within five years of the current guidelines;
  - Geographically or culturally isolated populations or those with low health literacy skills;
  - Medically unserved or underserved populations;
  - Racial, ethnic and cultural minority populations; and
  - Any other populations with low screening rates, high incidence rates and high mortality rates.
- Innovating and Evaluating. CPRIT's prevention portfolio aims to build understanding of and capacity to deliver effective programs by evaluating and disseminating innovations and best practices that address the needs of underserved populations.

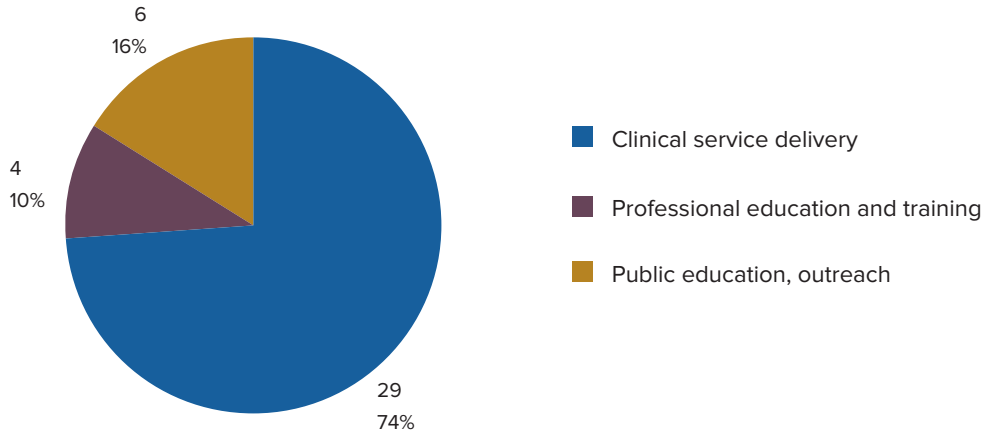
Prevention Portfolio

Since its inception, to date CPRIT has funded 115 prevention grants for a total of $96,730,804 in funding. Thirty-nine of these grants are active as of June 2014 (see table below). Real-time award counts and funding totals may always be found at www.cprit.state.tx.us. The active evidence-based projects have been awarded through the following mechanisms:

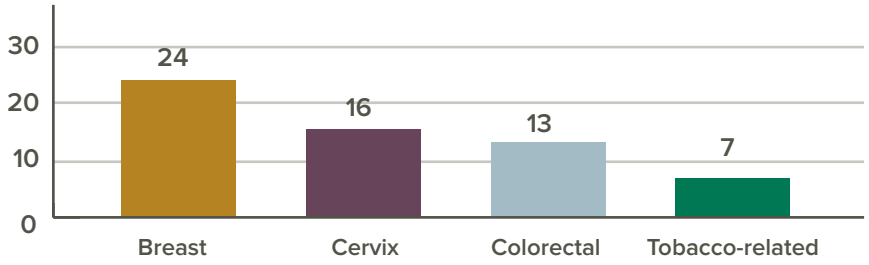
Active Prevention Grant Projects by Award Mechanism				
Award Mechanism	**Award Maximum/ Project Duration**	**Award Mechanism Description**	**Number of Active Projects**	**Total Award Amounts**
Evidence-Based Cancer Prevention Services (EBP)	- Up to $3M - 3 years	Supports evidence-based services in primary, secondary and/or tertiary cancer prevention.	33	$59,373,448
Behavior Change Through Public and Professional Education and Training (PPE)	- Up to $500,000 - 3 years	Supports health promotion, education and outreach of the public and/or training of professionals for primary, secondary and tertiary cancer prevention that will improve health behaviors related to cancer.	6	$2,134,471
TOTAL			**39**	**$61,507,919**

The following charts illustrate the distribution of these projects by type, cancer site and geographic location. Projects may address more than one focus area or cancer site.

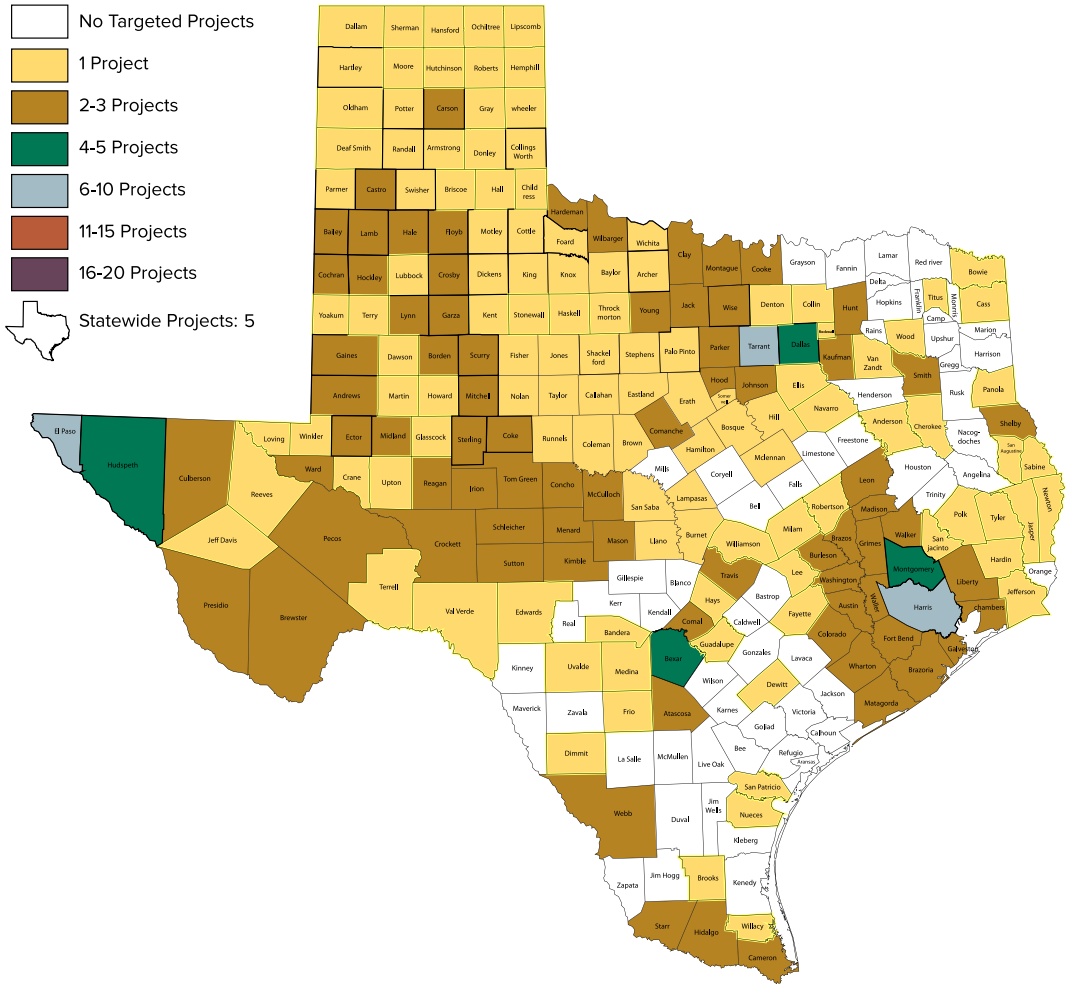
Number of Active Projects by Primary Focus Area



Number of Active Projects by Cancer Site



Counties Served by CPRIT Prevention Projects
39 Active Projects - June, 2014



Prevention grantees report quarterly and annually on their progress. Based on grantee reports, since its inception through FY2013, the CPRIT funded prevention programs have served more than 1,365,000 Texans. Of these:

- 794,386 Texans have been served by education and training programs. According to grantee reports, these projects in the CPRIT prevention portfolio have led to:
  - 1,251 Texans scheduling or receiving a preventive vaccination;
  - 11,604 Texans taking steps to quit smoking;
  - 30,385 Texans improving their behaviors related to healthy living and obesity control; and
  - 21,488 Texans scheduling or receiving screening and diagnostic services.

- 570,915 Texans have received clinical services. According to grantee reports, these projects in the CPRIT prevention portfolio have led to:
  - 11,756 prevention vaccinations;
  - 167,643 Texans receiving tobacco cessation services;
  - 15,974 Texans receiving genetic testing and counseling;
  - 9,994 Texans receiving survivor care; and
  - 319,436 screenings and diagnostics for breast, cervical and colorectal cancer. Of these:
    - 113,116 recipients had never before been screened;
    - 23,241 abnormal results were identified;
    - 1,897 cancer precursors were detected; and
    - 811 cancers were detected.

Product Development Program

Action Plan

CPRIT's product development program is designed to accelerate the progression of new cancer drugs, diagnostics, and therapies from the laboratory into clinical practice. The objectives of CPRIT's product development program are:

- To improve patient care through expedited innovation and product development;
- To foster economic development in Texas' emerging life sciences industry and the creation of high-quality new jobs in this state; and
- To provide a direct return, through intellectual property and revenue sharing, on the investments made by Texans.

CPRIT funds scientifically meritorious product development projects based on the potential for translating research discoveries into products that can help cancer patients. In addition to the scientific peer review process used by all CPRIT initiatives, product development proposals are subjected to a thorough due-diligence analysis to evaluate the applicant's intellectual property position, regulatory plan, and business operations capacity.

CPRIT uses a variety of grant award mechanisms to fulfill its objectives. The three award types include:

- Established Company Awards supporting Texas-based companies that have undertaken at least one round of professional institutional investment in developing marketable oncology products or services;
- New Company Formation Awards assisting start-up companies, with no previous rounds of professional institutional investment, seeking to develop marketable oncology products or services (companies that are not already based in Texas must relocate to the state before receiving CPRIT funding); and
- Company Relocation Awards targeting companies based outside of the state that have conducted at least one round of professional institutional investment (these companies must relocate to Texas to develop commercially oriented oncology products or services with CPRIT funding).

Product Development Portfolio

Eleven Texas-based companies have received CPRIT product development awards. Two more companies received research awards in January 2010 prior to the launch of CPRIT's product development program. The 21 CPRIT-funded company projects include promising drugs, diagnostics, and devices targeting a variety of cancers, including cancers of the blood (leukemia, lymphoma and myeloma), colon and rectum, breast, esophagus, stomach, lung, and prostate. Some of the CPRIT-funded companies are developing approaches applicable to multiple cancer types.

CPRIT's product development portfolio totals over $200 million. Together with the companies' required matching funds, total investment in research and development for the 21 CPRIT-funded company projects exceeds $350 million. In addition to creating new and improved tools and treatments for fighting cancer, CPRIT's investments are helping to build Texas' life-science industry. While bringing a product to market can take time, jobs and economic activity are generated throughout the process. Projects funded by CPRIT are expected to create approximately 170 direct jobs — highly skilled, high-wage positions — in life sciences in Texas over the three-year term of CPRIT's grant awards.

Every CPRIT award includes an intellectual property agreement that specifies a revenue return to the State of Texas from the successful development of CPRIT-funded drugs, devices, diagnostics or services. These revenue-sharing standards provide a fair return on Texas' grant funds without impeding the ability of the company to attract future investment. Like any interested investor, CPRIT is an engaged partner and holds award recipients accountable for their efforts to bring products to market.

As of May 31, 2014, 10 CPRIT-funded company projects were active. In addition one company, Apollo Endosurgery, completed work on its CPRIT-funded project prior to FY2013. Another company, Peloton Therapeutics, is awaiting resolution of grant contract issues with frozen funding.

Active Product Development Grant Projects as of May 31, 2014 by Award Mechanism

Award Mechanism	Title	Entity	Cancer Type	Amount
Company Award	Biobetter Cancer Monoclonal Antibody Program	Caliber Biotherapeutics	Leukemia, Lymphoma	$12,808,151
	Novel Targeted Biologics, Engineered Toxin Bodies (ETB), as Cancer Therapeutics	Molecular Templates, Inc.	Lymphoma	$10,600,000
	Clinically Actionable Mutation Profiling for Cancer Personalized Medicine using Scalable, Ultra-deep Next Generation Sequencing	Asuragen, Inc.	All Sites	$6,837,265
	Cancer Treatment Including Drug Discovery/Development and Clinical Trials	Mirna Therapeutics, Inc.	Basic Science, Multiple Sites	$10,297,454
	Cancer Biology and Genetics Including Oncogenesis Genomics and Proteomics	Rules-Based Medicine	Multiple Sites	$3,024,432

Award Mechanism	Title	Entity	Cancer Type	Amount
Company Award	Clinical Development of CaspaCIDe, a Cell Therapy Safety Switch	Bellicum Pharmaceuticals, Inc.	Leukemia, Lymphoma, Myeloma	$5,680,310
	MRI-Guided Laser Therapy for Targeted Treatment of Localized Prostate Cancer	Visualase, Inc.*	Prostate	$2,151,776
	Enrichment Filter and Point-of-use Assay Platform for Detection of Circulating Tumor Cells	Ingeneron, Inc.*	Multiple Sites	$198,111
Subtotal: Active Company Awards				**$51,597,499**
Company Formation	Expanding the Market and Success Rates for Myeloablative Cancer Treatments Using PUL-042, an Innate Immune Stimulant	Pulmotect, Inc.	Breast, Leukemia, Lymphoma, Ovary	$7,126,398
Company Relocation	TexCITE (Texas Cancer ImmunoTherapy Enterprise): Focused Development of Innovative Cell Therapies for Cancer	Cell Medica	Lymphoma, Other	$15,571,303
TOTAL ACTIVE FY2013			**10**	**$74,295,200**
Inactive/Closed			**2**	**$16,045,994**
Pending Contract Completion (see Table below)			**9**	**$116,012,744**
Total Grants to Date			**21**	**$206,353,938**

** Companies that received research awards in January 2010 prior to the launch of CPRIT's product development program.*

As is shown in the Table below, as of May 31, 2014, awards to nine companies are pending final contract execution.

Pending Product Development Grant Projects as of May 31, 2014				
Award Mechanism	**Title**	**Entity**	**Cancer Type**	**Amount**
New Company	Formation of the Texas Cancer Therapeutics Process Development Laboratory	Kalon Biotherapeutics	All types	$7,901,420
	Developing to Clinical Proof of Concept Drugs that Inhibit a Novel Cancer Cell Target	Beta Cat Pharmaceuticals*	Colon	$15,908,085
	Novel Ceramide-modulating Therapeutics for Cancer Use	CerRx, Inc.	Lymphoma	$6,000,000
Company Relocation	Androgen Receptor N-Terminus Blocker Program for Prostate Cancer: Relocation Grant	ESSA Pharmaceuticals	Bone and Prostate	$12,000,000
	Phase II Clinical Studies for a First-in-class Bcl-2 Cancer Drug	ProNAi Therapeutics	Leukemia and Lung	$14,000,000
Established Company	Propep Surgical - Real-time Nerve Identification for Robotic Surgery	ProPep Surgical	Cervix and	$7,126,398
	Clinical Development and Commercialization of Oncolytic Adenovirus for Treating Malignant Glioma	DNAtrix, Inc.	Brain	$10,813,623
	Preclinical and Clinical Development of Synergistic MicroRNA + Targeted Drug Combinations	Mirna Therapeutics	Liver, Bile	$25,147,614
	Pre-IND, Phase I and Biomarker for Human Arginase Targeting Metabolic Vulnerability of Tumors	AERase	All types	$19,806,145
			Total	**$116,012,744**

**Beta Cat is relocating to Texas from Gaithersburg, MD. Early stage companies that are relocating to Texas and have not had a round of professional financing apply as New Companies.*

Compliance Program

In December 2012, the CPRIT Oversight Committee established the agency's compliance program, which was later codified by statutory changes included in Senate Bill 149 as passed by the 83rd Texas Legislature, mandating a program "to assess and ensure compliance by the Institute's committee members and employees with applicable laws, rules and policies." Changes enacted by the 83rd Legislature also require the Institute to monitor continuously and ensure that each grant recipient complies with the terms and conditions of its grant contract; as such CPRIT has initiated a comprehensive overhaul of its compliance program. Steps already taken include:

1. Hiring a Chief Compliance Officer in December 2013. (A former compliance officer resigned in June 2013 to take a promotion at another state agency.)

2. Completion of "Grant Pedigree" Project: Beginning with the award slates ratified by the Oversight Committee in December 2012, the former compliance officer created a "grant pedigree" detailing the CPRIT processes each grant application must follow. This pedigree provides documentation and assurance to the Oversight Committee that each grant award has met statutory, rule, and Institute procedures. The pedigree will continue for the life of each grant and document subsequent grant monitoring and compliance with contract terms and conditions. The grant pedigrees have undergone continued enhancement and improvement to ensure that each pedigree includes all the processes and procedures implemented by statute or CPRIT rules.

3. Hiring Three New Grant Specialists: To ensure that grant recipients comply with applicable financial, administrative, and programmatic terms and conditions and to exercise proper stewardship over grant award funds, CPRIT has hired three grant specialists to work under the supervision of a grant manager, who reports to both the Chief Compliance Officer and the General Counsel. The grant specialists will be not only communicating and conducting training on process and procedures, such as the importance of the timeliness of reports, with grant recipients, but also conducting monitoring responsibilities such as on-site desk reviews and inspections to ensure that each grant recipient complies with the terms and conditions of the grant contract, including verification of the amounts of matching funds dedicated to the research that is the subject of the grant award.

4. Hiring of a Legal/Compliance Attorney: To assist in the facilitation of the legal and compliance processes and procedures, as well as internal investigations among other duties, an attorney was hired in May 2014 to report to the Chief Compliance Officer and General Counsel.

5. Adopting New Rules with Serious Consequences Imposed on Grantees who are Delinquent in Submitting Grant Monitoring Reports: The CPRIT Oversight Committee adopted new and enhanced rules providing consequences, such as the loss of grant funds, when required reporting obligations have not been met. These new rules in conjunction with the hiring of grant specialists to monitor compliance and provide better communication with grantees, should result in a more efficient and thorough compliance program.

In addition to these actions, CPRIT is initiating a review and design of a more comprehensive and robust compliance program. This includes contracting with a qualified assurance firm to work with CPRIT staff to design and implement the program. The compliance design plan is estimated to be completed by August 2014.

The successful vendor will have experience in agency compliance, auditing, risk assessment, agency restructuring and reorganization, strategic planning, compliance training, and fraud investigation. The contracted services will provide, in a detailed written plan, strategic guidance to CPRIT through the design and implementation phases of the compliance program that defines an optimal level and structure for outsourced and internal agency staff for the grant application and post award monitoring processes. The plan will include guidance on how to develop the comprehensive compliance program based on CPRIT's mission, goals, and objectives including a program structure that incorporates the following specific compliance components and requirements.

1. **Organizational Structure Design**
   - Work with CPRIT to establish an accountability structure to ensure that oversight and process ownership exists. The accountability structure should establish who is responsible for the design and operation of controls within the agency and regulates individuals to ensure they act ethically and in the Institute's best interest.

2. **Risk Assessment**
   - Identify and develop an ongoing risk assessment of the grant award process including grant applicants, recipients, and contractors;
   - Identify any current information technologies to support CPRIT's risk assessment program that complements and/or utilizes existing compliance IT technologies.

3. **Grant Compliance Monitoring**
   - Develop a compliance model, including structure, budget and staffing needs, to implement an ongoing program that monitors compliance with grant awards and grant progress;
   - Recommend technological advances for grant compliance monitoring that leverage or replace current software and technology.

4. **Anonymous Compliance Reporting (Hotline Service)**
   - Work with CPRIT staff to evaluate, recommend, and implement an anonymous compliance communicating and reporting process, such as a hotline, that is cost effective and complements the comprehensive compliance program.

5. **Investigation and Follow-up**
   - Provide consultation on internal and/or outsourced expertise and staffing required for compliance investigations and follow-up to investigations.

6. **Enforcement**
   - Provide consultation on developing and implementing compliance enforcement rules and policies, including staffing and budget changes necessary in the event of a negative finding in a compliance investigation.

7. **Internal Auditing**
   - Work with CPRIT staff to develop an internal audit program, which complements the compliance program, to evaluate the effectiveness of internal controls, including automated controls for risk and compliance work flow; ensures that data flow is timely, accurate, and comprehensive; and informs senior management of best practices in compliance processes.
   - Provide recommendations on expertise and staffing requirements including outsourcing or co-sourcing the internal audit functions with respect to CPRIT's mission, goals, and objectives.

8. **Compliance Education and Training**
   - Work with CPRIT to provide direction to ongoing compliance training and education programs, including necessary staffing and budget changes, that complements CPRIT's comprehensive compliance program with education and training of CPRIT Oversight Committee members and staff as well as grant applicants and recipients.

Figure VII - Research Peer Review Process

Cancer Prevention & Research Institute of Texas

STEP 1 Request for Application (RFA)	CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT's email newsletter and the Texas Register.
STEP 2 Applying Online	Applicants submit proposals using CPRIT's online application receipt system (www.cpritgrants.org). Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and applications are eligible only for the grant mechanism under which the grant application was submitted.
STEP 3 Administrative Review	Applications submitted by the deadline are checked for compliance against the application's administrative requirements and may be withdrawn at this step.
STEP 4 Reviewer Conflict of Interest (COI) Identification	Experts and advocates in cancer research are recruited by panel chairs, provisionally appointed by CPRIT's CEO and approved by the Oversight Committee. The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.
STEP 5 Reviewer Assignment	Peer reviewers are assigned to panels in their area of expertise. Panel chairs assign applications to primary reviewers (usually 3 per application). At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT's website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process. Due to volume, research applications may undergo a preliminary evaluation using the process and criteria specified in the RFA.
STEP 6 Initial Scoring	An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.
STEP 7 Panel Discussion	The full peer review panel (12-15 reviewers) discusses the applications. If there is insufficient time to discuss all grant applications, the Review Panel chair determines applications to be discussed, based on initial scores. After discussion, each panel member provides individual overall scores that are averaged to provide a final overall score.
STEP 8 Final Scoring	Based upon the discussion and the scores, the peer review panel develops a rank ordered list of applications it recommends for grant awards. A final overall score and a summary statement of the reviewers' comments are provided to each applicant.
STEP 9 Review Council Recommendation	The Scientific Review Council, consisting of the Chair and panel chairs, considers the panels' recommendations and conducts a programmatic review. Criteria considered during programmatic review are spelled out in the RFA. The Council assigns a numerical ranking score to each application. The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO and the Oversight Committee (OC). Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.
STEP 10 Program Integration Committee (PIC) Review	The Program Integration Committee (PIC) considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.
STEP 11 Oversight Committee Action	The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the Oversight Committee members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.
STEP 12 Grant Award Contract	All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements.

Note: Recruitment Award Process. Applications for recruitment awards follow steps 1 through 3 above, but they are reviewed by members of the Scientific Review Council (SRC). Reviewers flag potential COI, and the SRC Chair assigns applications to primary reviewers (usually 3). Primary reviewers evaluate and score applications based on criteria specified in the RFA. Applications then follow steps 6-12 above, with SRC members acting as panel members and the SRC Chair serving as Review Panel Chair.

Figure VIII - Product Development Peer Review Process

Cancer Prevention & Research Institute of Texas

STEP 1 Request for Application (RFA)	CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT's email newsletter and the Texas Register.
STEP 2 Applying Online	Applicants submit proposals using CPRIT's online application receipt system (www.cpritgrants.org). Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and only for the grant mechanism under which the grant application was submitted.
STEP 3 Administrative Review	Applications submitted by the deadline are checked for compliance against the application's administrative requirements and may be withdrawn at this step.
STEP 4 Reviewer Conflict of Interest (COI) Identification	Experts and advocates in development of products related to cancer research are recruited by panel chairs, provisionally appointed by CPRIT's CEO and approved by the Oversight Committee. The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers identify which applications match their area of expertise and flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.
STEP 5 Reviewer Assignment	Peer reviewers are assigned to panels in their area of expertise. At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT's website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process.
STEP 6 Individual Evaluation and Scoring	An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three or four) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.
STEP 7 Panel Discussion	The full peer review panel (12-15 reviewers) meets by teleconference and discusses the applications. After discussion, the primary reviewers may adjust their initial scores. The primary reviewers' individual overall scores are then averaged to provide an overall evaluation score for the application; the score and a summary statement of the reviewers' comments are generated for each application that does not move forward for further review. A reviewer with a conflict of interest for an application recuses themself from the discussion and scoring of that application.
STEP 8 In Person Presentations	Applicants with sufficiently positive scores after the panel discussion are invited to present their proposal to the full review panel and answer reviewer questions. Following the presentation, the reviewers discuss the application and all reviewers individually submit an overall score for the application. The individual overall scores are then averaged to provide a final overall evaluation score for the application; the score and a summary statement of the reviewers' comments are provided to each applicant. A reviewer with a conflict of interest for an application recuses themself from the discussion and scoring of that application.
STEP 9 Due Diligence Review	The applications that score sufficiently well after the in-person presentation undergo due diligence review conducted by outside contractors hired by CPRIT and overseen by the Chief Product Development Officer. Due diligence involves an in-depth evaluation of the proposal's underlying intellectual property, clinical trial design, regulatory affairs, manufacturability of product, marketing, etc. The due diligence reports are provided to the primary reviewers and the Product Development Review Council for their consideration.
STEP 10 Review Council Recommendation	Following a discussion of the due diligence reports, the Review Council conducts a programmatic review and decides which applications should be recommended for CPRIT grant funding. Criteria considered during programmatic review are spelled out in the RFA. All Product Development applications recommended for grant funding are numerically ranked by the Review Council and submitted to the Program Integration Committee. The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO (as Chair of the Program Integration Committee) and the Oversight Committee (OC). Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.
STEP 11 Program Integration Committee (PIC) Review	The Program Integration Committee (PIC) considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.
STEP 12 Oversight Committee Action	The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the Oversight Committee members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.
STEP 13 Grant Award Contract	All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements, including revenue sharing terms and agreed upon milestones.

Figure IX - Prevention Peer Review Process

Cancer Prevention & Research Institute of Texas

STEP 1 Request for Application (RFA)	CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT's email newsletter and the Texas Register.
STEP 2 Applying Online	Applicants submit proposals using CPRIT's online application receipt system (www.cpritgrants.org). Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and only for the grant mechanism under which the grant application was submitted.
STEP 3 Administrative Review	Applications submitted by the deadline are checked for compliance against the application's administrative requirements and may be withdrawn at this step.
STEP 4 Reviewer Conflict of Interest (COI) Identification	Experts and advocates in cancer prevention are recruited by panel chairs, provisionally appointed by CPRIT's CEO and approved by the Oversight Committee. The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers identify which applications match their area of expertise and flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.
STEP 5 Reviewer Assignment	Peer reviewers are assigned to panels in their area of expertise. At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT's website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process.
STEP 6 Initial Scoring	An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.
STEP 7 Panel Discussion	The full peer review panel (12-15 reviewers) discusses the applications. If there is insufficient time to discuss all grant applications, the Review Panel chair determines applications to be discussed. After discussion, each panel member provides individual overall scores that are averaged to provide a final overall score. A reviewer with a conflict of interest for an application recuses themself from the discussion and scoring of that application.
STEP 8 Final Scoring	Based upon the discussion and the scores, the peer review panel develops a rank ordered list of applications it recommends for grant awards. A final overall score and a summary statement of the reviewers' comments are provided to each applicant.
STEP 9 Review Council Recommendation	The Prevention Review Council, consisting of the Chair and panel chairs, considers the panels' recommendations and conducts a programmatic review. Criteria considered during programmatic review are spelled out in the RFA. The Council assigns a numerical ranking score to each application. The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO and the Oversight Committee (OC). Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.
STEP 10 Program Integration Committee (PIC) Review	The Program Integration Committee (PIC) considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.
STEP 11 Oversight Committee Action	The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the Oversight Committee members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.
STEP 12 Grant Award Contract	All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements.

Agency Goals; Objectives and Outcomes Measures; Strategies and Output; Efficiency; and Explanatory Measures

GOAL: 1

Cancer Research and Prevention Services

OBJECTIVE: 1

To Create and Expedite Innovation in the Area of Cancer Research and Prevention Services

STRATEGY: 1.1.1.

Award Cancer Research Grants

OUTCOME

1. Non-State Funds Leveraged as Match for Research Grants (in millions)
2. Total Research Matching Fund Expenditures

OUTPUT

1. Number of Researchers Recruited to Texas to Conduct Cancer Research
2. Number of Entities Relocating to Texas for Cancer-Research Related Projects

EXPLANATORY

1. Average Dollar Amount of Research Grants Awarded
2. Number of Research Grant Awards
3. Number of New Jobs Created and Maintained
4. Number of Published Articles on CPRIT-Funded Research Projects

STRATEGY: 1.1.2.

Award Cancer Prevention Grants

OUTCOME

1. Percent of Texas Regions with Cancer Prevention Services and Activities Initiated as Addressed in the *Texas Cancer Plan* through Grant Awards

OUTPUT

1. Number of People Served by Institute-funded Prevention and Control Activities

EXPLANATORY

1. Annual Age-adjusted Cancer Mortality Rate

STRATEGY: 1.1.3.
Grant Review and Award Operations

OUTPUT

1. Number of Grants Reviewed for Compliance

EXPLANATORY

1. Number of Non-compliant Grant Recipients

GOAL: 2
Indirect Administration

OBJECTIVE: 2
Indirect Administration

STRATEGY: 2.1.1.
Indirect Administration

Historically Underutilized Businesses Plan

CPRIT makes a good faith effort to purchase and award contracts to historically underutilized businesses (HUB) in accordance with the Texas Government Code, Title 10, Subtitle D, Chapter 2161 and rules established by the Comptroller, Texas Procurement and Support Services Division (TPASS) in Texas Administrative Code, Title 34, Part 1, Chapter 20, Subchapter B.

A HUB expenditure is a payment made to a business that has been certified as a HUB by the Comptroller TPASS and classified under a Comptroller Object Code chosen for tracking HUB expenditures. The Comptroller TPASS tracks the Institute's HUB expenditures through the Uniform Statewide Accounting System.

State agencies are required to include in their strategic plans agency goals, objectives, performance measures, and strategies addressing their HUB expenditure plans located in the Internal Assessment. CPRIT's purchases consist of other services, professional services, and commodities. The operating budget for a small agency limits the dollars spent; however, the Institute continues to look for opportunities to increase HUB purchases.

Procurement Strategy

CPRIT will continue to encourage increased participation of Historically Underutilized Businesses (HUB) in its procurement of services and supplies. During fiscal years 2015-2019, CPRIT will make a good faith effort to purchase and contract with HUBs to achieve the target goals established for state agencies.

Goal: The Institute will implement existing policies and procedures to ensure meaningful and substantial inclusion of HUBs in all possible agency purchases.

Objective: To attain agency HUB targets for professional services, other services and commodities over the next year

Outcome Measure:

- Percentage of total dollar value of purchasing contracts awarded to HUBs

Strategy: Implement the agency plan for increasing HUB purchases

Measures:

- Number of HUB contractors contacted for bid proposals
- Number of HUB contracts awarded
- Dollar value of HUB contracts awarded
- Percentage of HUB expenditures attained

CPRIT grant award recipients are expected and required to make a good faith effort to use the services, products, or materials provided by a certified HUB. The CPRIT Project Guide requires grant recipients to submit quarterly reports identifying efforts to procure goods and services through HUBs. Staff ensure the HUB vendors reported by the grantees are actual Texas-certified HUB vendors. The Institute proactively notifies eligible contractors about procedures for becoming certified as HUBs.

CPRIT will continue to analyze internal quarterly expenditures made with HUBs and seek opportunities to increase HUB procurements.

Technology Resource Planning

Technology Assessment Summary

Vision

The CPRIT Information Technology (IT) department shall foster an environment that embraces technology change by leveraging technology to promote access, collaboration, and support of the agency while fostering transparency. Information Technology is committed to accountability, integrity, teamwork, efficient and effective innovation, and responsiveness.

Core Information Technology Processes

Information Technology operations have three major focal areas: infrastructure management (ensuring daily operations, security, continuity), direct user/public support (troubleshooting, education), and agency/departmental level technology planning support (planning, business analysis, sustainability).

Mission and Strategic Goals

Information Technology shall provide a reliable, consistent and secure information technology infrastructure that advances the core objectives of the Institute, enhances administrative operations, is driven by institutional priorities, incorporates stakeholder needs, and complies with statewide initiatives and goals set forth by the Department of Information Resources. IT's basic goals are access, collaboration and innovation, privacy and security, quality service, and "greener" IT. To this end, CPRIT has defined five broad strategic goals that encompass and support the department's mission.

Goal 1: Anywhere/Anytime Access
Public and agency stakeholder access to information should not be limited or restricted because of physical location or time of day. IT will utilize redundant services and web-based tools to provide secure access to internal agency systems and hosted applications for agency personnel. Additionally, the agency website and other web-based services will provide, among other things, agency constituents and the general public with access to agency contact information, Institute mission objectives, grant Request for Applications, information on awarded grants, agency guidelines, and policies.

Goal 2: Collaboration and Innovation
Information Technology accepts the challenge of innovative thinking. By leveraging IT, staff expertise, and use of new technologies, IT will create efficient and cost-effective solutions to address agency goals and objectives. Focusing on the deployment and use of collaborative tools will enable staff to engage with each other and the public at large, working together to support and generate new ideas and processes to assist in the delivery of services and solutions.

Goal 3: Privacy and Security
Protecting critical agency resources and sensitive information from service vulnerabilities, accidental

disclosure, theft, and cyber attacks are of paramount concern. IT will ensure that infrastructure components are sufficiently robust and protected by developing processes in which periodic independent audits and internal policy reviews regularly occur.

Goal 4: Quality of Service and Continuous Improvement

By utilizing performance metrics and stakeholder feedback to determine effectiveness and quantify performance, IT will maintain a highly responsive and nimble enterprise environment which fosters ongoing learning and comprehensive technical process examination to improve and evolve to meet agency initiatives and to serve efficiently and effectively the needs of CPRIT and its constituents.

Goal 5: "Greener" IT

Information Technology will leverage software solutions and hardware platform selection as well as better define internal processes to reduce the agency's ecological footprint. By using server and application virtualization, IT will remain responsive and innovative while maximizing the use of current infrastructure components, realize cost savings by reducing and centralizing infrastructure resources and support agreements, increasing redundancy, and reducing disaster recovery response timelines.

Goal 6: Incorporate Cloud Services

As internal systems age or program needs evolve, cloud services will be compared to the traditional infrastructure to meet demands. Using cost-versus-benefit guidelines, IT will evaluate and review security, privacy, and data storage requirements of new and existing initiatives so that cloud platforms and services can be incorporated when it improves operational efficiency and decreases the required maintenance footprint of the department.

Technology Initiative Alignment

The following summarizes CPRIT Information Resources objectives and strategies as they relate to departmental goals. Additionally, each objective and/or strategy is correlated to related Statewide Technology Priorities (STPs), if possible.

Technology Initiative Alignment Objectives

Objective 1: Incorporate effective IT governance mechanisms that align technology priorities and policies with established Institute goals, objectives, and overall mission. Senior management and IT will create an annual work plan defining agency-wide technology initiatives and prioritize those efforts. IT will assist management in developing policy that addresses stakeholder expectations, transparently defines infrastructure capabilities, and clearly communicates risks inherent in new agency technology initiatives and requests.

Objective 2: Clarify IT life-cycle policy and continue to provide reliable, efficient and cost effective enterprise infrastructure services and maintenance services, while reviewing and updating maintenance contracts so that core systems, equipment, and software platforms are fully covered and serviceable.

Objective 3: Implement business continuity and disaster recovery planning with scheduled testing to ensure that redundancy exists to protect the integrity and security of agency data and maintain business continuity

and accessibility to critical agency technical resources. This objective will be implemented by utilizing proactive monitoring of network, server, and application level infrastructures; using server virtualization technologies, redundant network infrastructure hardware along with centralized storage so that physical and application-level redundancy exist on-site; and updating agency service/system service restoration guidelines in conjunction with the Department of Information Resources, other state entities, and commercial vendors to determine what cloud-based or offsite resources exist for co-location or relocation of agency resources in the event of a facility (natural or man-made) disaster.

Objective 4: Review, revise, and implement agency record, service, and system security policies to ensure privacy and integrity of information resources. This includes reviewing agency security policies annually to streamline processes, maintain a service plan to address weaknesses, and ensure that major changes in technological trends are adequately evaluated and prepared for; developing an Incident Response Plan to encompass the agency's identification of, response to, and notification of compromised or infected systems, determination of privacy issues, and target/victim notification; enhancing general security awareness among staff; implementing an encryption policy for all agency data storage systems, mobile computing devices, email, electronic data transfers; and engaging the Department of Information Resources to perform an independent annual system, application, and external network vulnerability test.

Objective 5: Support and enhance agency collaborative efforts, including implementing an agency-wide resource planning and project tracking system and enhancing teleconference bridges, videoconferencing systems, and web-based meeting software to improve communication between remote entities and CPRIT offices.

Objective 6: Provide access to agency information and services including a web-based, secure virtual private network for staff to access email, shared file storage locations, and hosted productivity applications from any location.

Objective 7: Redefine and enhance the agency's websites to provide accurate and up-to-date information and to assist the public in understanding the impact and relevance of CPRIT projects in their neighborhoods, cities, counties and state.

Objective 8: Maintain and expand an environmentally responsible IT focus on purchasing infrastructure hardware designed for low energy consumption, limiting endpoint power usage by standardizing on small form factor PCs and laptops, and by limiting infrastructure footprint by consolidating agency physical storage devices and server systems through virtualization.

Objective 9: Limit infrastructure procurement, deployment, and maintenance costs while increasing efficiency by utilizing cloud services. In addition to traditional approaches to IT requirements, IT will consider cloud platforms and products as alternatives. By employing mature services, both technician response times and maintenance costs should decrease. Realizing this objective would decouple agency provided applications and services from physical hardware maintained by IT, providing a more agile disaster recovery response, increasing general availability of hosted services via the Internet and significantly reducing departmental investment in maintaining legacy systems.

				Goal 1: Anywhere/Anytime Access	Goal 2: Collaboration and Innovation	Goal 3: Privacy and Security	Goal 4: Quality of Service and Continuous Improvement	Goal 5: "Greener" IT	Goal 6: Incorporate Cloud Services
Objectives	**Strategies**	**STPs**	**Status**	**Goals**					
1. Incorporate effective IT governance mechanisms that align technology priorities and policies with established agency goals and objectives	1.1: Develop an annual work plan prioritizing information technology efforts		Planned		✓		✓		
	1.2: Clearly define key progress indicators and expected results for IT projects		Current		✓		✓		
2. Clarify IT life-cycle policy and ensure that it continues to provide reliable, efficient and cost effective enterprise infrastructure services	2.1: Maintain existing enterprise infrastructure and services	P4	Current	✓		✓	✓	✓	
	2.2: Continue current policy of responsible procurement	P1, P4	Current		✓	✓	✓	✓	✓

				Goal 1: Anywhere/Anytime Access	Goal 2: Collaboration and Innovation	Goal 3: Privacy and Security	Goal 4: Quality of Service and Continuous Improvement	Goal 5: "Greener" IT	Goal 6: Incorporate Cloud Services
Objectives	**Strategies**	**STPs**	**Status**	**Goals**					
	2.3: Implement IT asset management and ticketing system	P4	Current		✓		✓		
3. Facilitate implementation of business continuity and disaster recovery planning and scheduled testing	3.1: Deploy agency-wide system, application level and service monitoring	P4	Planned		✓		✓		
	3.2: Create a virtualized, fully redundant hardware and software infrastructure on-site	P4	Current	✓	✓		✓	✓	
	3.3: Clarify and update agency disaster recovery and emergency response plans	P1, P4	Planned	✓	✓	✓	✓		✓

				Goal 1: Anywhere/Anytime Access	Goal 2: Collaboration and Innovation	Goal 3: Privacy and Security	Goal 4: Quality of Service and Continuous Improvement	Goal 5: "Greener" IT	Goal 6: Incorporate Cloud Services
Objectives	**Strategies**	**STPs**	**Status**	**Goals**					
4. Review, revise, and implement agency record, service and system security policies to ensure the privacy and integrity of information resources	4.1: Complete an annual analysis of information resources procedures and security policies	P9	Current		✓	✓	✓		
	4.2: Develop an Incident Response Plan	P9	Planned		✓	✓	✓		
	4.3: Regularly educate and inform agency staff on security policies, best practices, and incident reporting	P9	Current		✓	✓	✓		

				Goal 1: Anywhere/Anytime Access	Goal 2: Collaboration and Innovation	Goal 3: Privacy and Security	Goal 4: Quality of Service and Continuous Improvement	Goal 5: "Greener" IT	Goal 6: Incorporate Cloud Services
Objectives	**Strategies**	**STPs**	**Status**	**Goals**					
	4.4: Define and require a consistent encryption policy to protect sensitive agency information	P9	Current			✓	✓		
	4.5: Engage DIR to perform quarterly system/ network vulnerability testing	P9	Current			✓	✓		
5. Support and enhance agency collaborative efforts	5.1: Implement an agency-wide, resource planning and project tracking system	P1	Planned		✓		✓		✓

				Goal 1: Anywhere/Anytime Access	Goal 2: Collaboration and Innovation	Goal 3: Privacy and Security	Goal 4: Quality of Service and Continuous Improvement	Goal 5: "Greener" IT	Goal 6: Incorporate Cloud Services
Objectives	**Strategies**	**STPs**	**Status**	**Goals**					
	5.2: Deploy an enterprise collaboration suite and integrated storage system	P1	Planned		✓		✓		✓
	5.3: Maintain and expand agency use of audio/video technologies	P1, P4	Current		✓		✓	✓	✓
6. Provide access to agency information and services anywhere/anytime	6.1: Provide secure, web-based access to information, storage resources and critical services for agency staff and stakeholders	P1, P6	Current	✓	✓		✓	✓	✓

				Goal 1: Anywhere/Anytime Access	Goal 2: Collaboration and Innovation	Goal 3: Privacy and Security	Goal 4: Quality of Service and Continuous Improvement	Goal 5: "Greener" IT	Goal 6: Incorporate Cloud Services
Objectives	**Strategies**	**STPs**	**Status**	**Goals**					
7. Redefine and enhance the agency's world wide web presence	7.1: Make existing agency public web resources easier to discover, navigate, and understand		Current	✓	✓		✓		
	7.2: Implement a web content management system		Current	✓	✓		✓		
8. Maintain and expand an environmentally responsible IT operational focus	8.1: Conduct an annual energy audit of agency servers and desktop system to determine and track footprint impact	P4	Planned				✓	✓	
	8.2: Implement centralized storage and virtualization systems	P1, P4	Current				✓	✓	✓

				Goal 1: Anywhere/Anytime Access	Goal 2: Collaboration and Innovation	Goal 3: Privacy and Security	Goal 4: Quality of Service and Continuous Improvement	Goal 5: "Greener" IT	Goal 6: Incorporate Cloud Services
Objectives	**Strategies**	**STPs**	**Status**	**Goals**					
9. Limit infrastructure procurement, deployment and maintenance costs while increasing efficiency by utilizing cloud services	9.1 Perform annual review of internal services and systems to determine possible use of cloud hosted platforms or products	P1, P4	Current	✓					✓
	9.2 Adopt cloud services for web-based public facing applications	P1	Current	✓					✓

Appendices

Appendix A: Description of Agency's Planning Process

The following describes the key dates and activities undertaken by the Institute in its strategic planning process:

- **January-February 2014**
  CPRIT staff prepares a services contract Request for Proposals (RFP) for a meeting facilitator for an amount not to exceed $50,000 pursuant to instructions from the Oversight Committee to assist in the program priority setting project mandated in Senate Bill 149. This project is related to, but separate from, the statutorily required state strategic plan. The connection between the two separate processes is discussed at the January 24, 2014, public Oversight Committee meeting.

- **February-March 2014**
  CPRIT staff begins extensive revision of prior iteration of the statutorily required state strategic plan submitted to the Governor's Office of Budget, Planning and Policy and the Legislative Budget Board in 2012. Elements are assigned to appropriate staff to make sure all required elements are addressed, updated, or written. General and specific discussion of the planning process, goals, strategies, and objectives occur among staff and the Oversight Committee individually and at a public meeting (February 19, 2014).

- **April-June 2014**
  CPRIT retains a meeting facilitator for the program priorities project. Parameters of that project including the Oversight Committee subcommittee meeting schedule, Oversight Committee workshop, public input, and prioritization is developed for a period covering July through September 2014, with a goal for project completion by the end of December 2014.

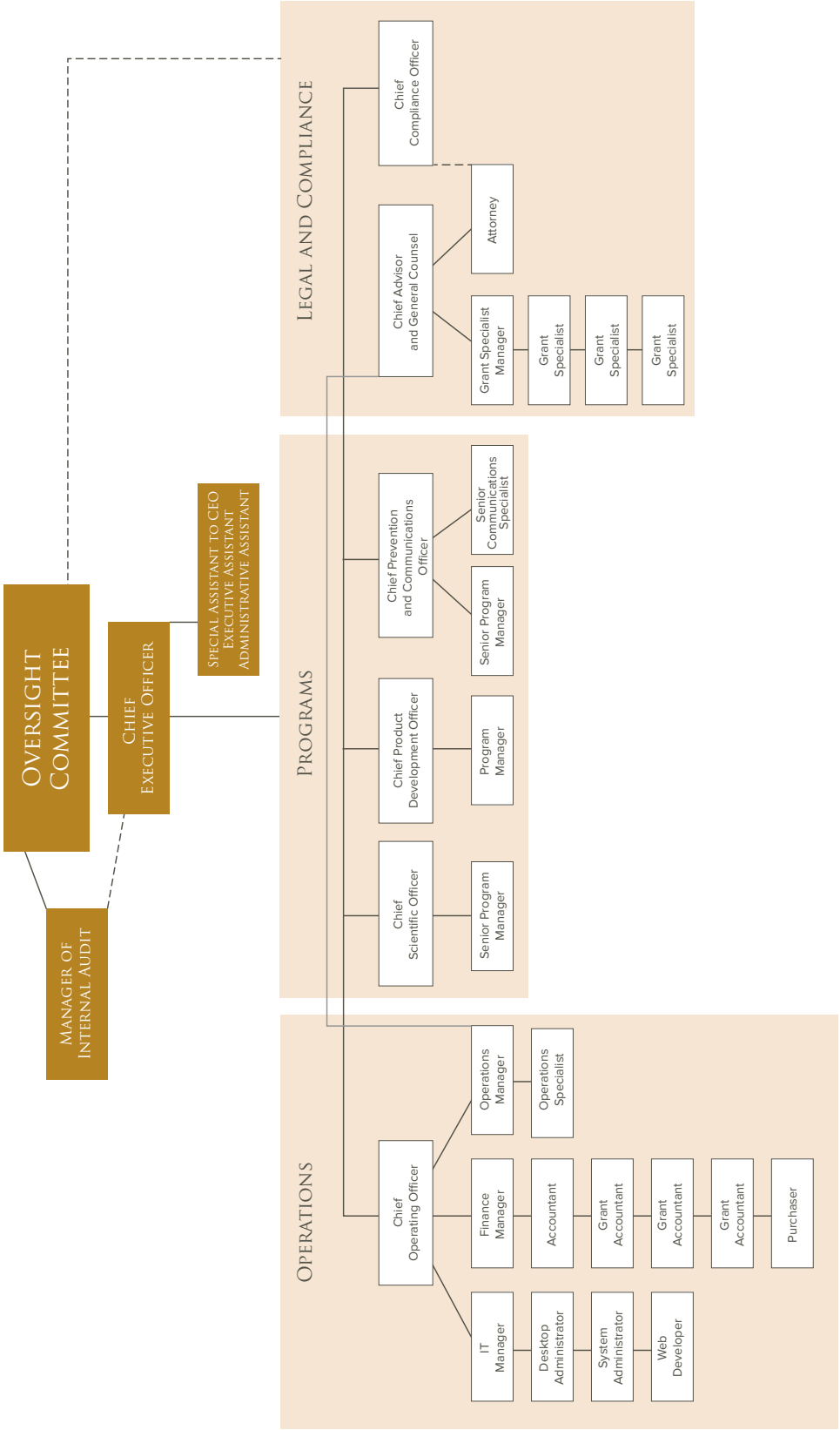
- **April-May 2014**
  CPRIT conducts a customer service survey of the agency's grantees and others involved in the grant awarding process. The results of this survey are included in this document and were conveyed to the Governor's Office of Budget, Planning and Policy and the Legislative Budget Board on May 30, 2014. CPRIT management assigned issues identified in the survey to relevant staff to address concerns similar to that required to address findings in financial and/or management audits (June 2014).

- **First Week of April 2014**
  CPRIT receives formal instructions from the Governor's Office of Budget, Planning and Policy and the Legislative Budget Board for the statutorily required state strategic plan and its various subcomponents such as the information resources plan.

- **First Week of May 2014**
  First draft of state strategic plan completed and included in the May 20, 2014, Oversight Committee meeting books for approval.

- **End of May and Early June 2014**
  Final draft of strategic plan completed for submission by the June 23, 2014, due date.

Appendix B: Current Organizational Chart (as of 06-01-14)



Appendix C: Five Year Projections for Outcomes 2011-2015

OUTCOME	2015	2016	2017	2018	2019
Non-State Funds Leveraged as Match for Research Grants (in millions)	$29.4	$35.9	$34.4	$35.2	$41.4
Total Research Matching Fund Expenditures	$88,121,008	$107,889,465	$103,214,692	$105,639,831	$124,206,531
Percent of Texas Regions with Cancer Prevention Services and Activities Initiated	100%	100%	100%	100%	100%

Non-State Funds Leveraged as Match for Research Grants:
Total amount of non-state funds leveraged as match for Institute research grants. Non-state funds include any federal, non-profit, corporate, or philanthropic sources of money used as match.

Total Research Matching Fund Expenditures:
The total expenditures for the conduct of research and development from all matching fund sources during the reporting period. The total may include indirect costs and fringe benefits.

Percent of Texas Regions with Cancer Prevention Services and Activities Initiated as Addressed in the *Texas Cancer Plan* through Grant Awards:
Total verified number of Texas regions (expressed as a percentage) receiving cancer prevention services through direct Institute intervention or Institute-funded contracts that address one or more of the following *Texas Cancer Plan* goals: Prevention Information and Services; Early Detection and Treatment; Professional Education and Practice; Cancer Data Acquisition and Utilization; and Survivorship. The measure reflects the Institute's ability to provide a comprehensive approach to cancer control planning and implementation. Inclusion of a Texas county in this measure calculation does not imply that all of the goals, objectives, and strategies related to the *Texas Cancer Plan* have been implemented.

Appendix D: Performance Measure Definitions

GOAL 1 – Cancer Research and Prevention Services

Objective A.1: Create and Expedite Innovation in Cancer Research and Prevention Services

Outcome Measure A.1.1	Non-State Funds Leveraged as Match for Research Grants (in millions)
Short Definition:	Total amount of non-state funds leveraged as match for Institute research grants. Non-state funds include any federal, non-profit, corporate, or philanthropic sources of money used as match.
Purpose/Importance:	This measure indicates the amount of non-state appropriated dollars invested in cancer research in Texas.
Source/Collection of Data:	Data for all leverage funds announced is documented in the Institute agreements signed by grant recipients.
Method of Calculation:	Institute staff will total the amount of leverage investments identified in signed protect agreements for projects receiving Institute awards.
Data Limitations:	None
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target

Outcome Measure A.1.2	Total Research Matching Fund Expenditures
Short Definition:	The total expenditures for the conduct of research and development from all matching fund sources during the reporting period, including indirect costs. This would exclude amounts granted by the Cancer Prevention and Research Institute and would also exclude the Institute's fringe benefits.
Purpose/Importance:	This measure is an indicator of the level of matching research dollars expended for cancer research grant awards.
Source/Collection of Data:	Annual financial reports from grant recipients documenting actual expenditures of all funds related to the Institute's grant award.
Method of Calculation:	The total dollar amount of matching fund expenditures for the conduct of research and development from all funding sources documented in the Institute's award agreements signed by the grant recipients.
Data Limitations:	None
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target

Outcome Measure A.1.3	Percent of Texas Regions with Cancer Prevention Services and Activities Initiated
Short Definition:	Total verified number of Texas regions, as described by the Texas Health and Human Services Commission, (expressed as a percentage) receiving cancer prevention services through direct Institute intervention or Institute-funded contracts that address one or more of the *Texas Cancer Plan* goals.
Purpose/Importance:	The *Texas Cancer Plan* goals are: Prevention Information and Services; Early Detection and Treatment; Professional Education and Practice; Cancer Data Acquisition and Utilization; and Survivorship. The measure reflects the Institute's ability to wage a multi-faceted attack on cancer.
Source/Collection of Data:	Each initiative is required to apply for Institute funding annually. The applicant must report which *Texas Cancer Plan* goals are being addressed by their activities and must also indicate the geographic area(s) their program will serve. Each applicant must address at least one Cancer Plan goal and may address multiple goals.
Method of Calculation:	Institute staff verifies the goals being addressed and creates a matrix documenting all initiatives and goals addressed. Geographic areas served will also be tracked. Agency records, and/or a current list of initiatives that are promoted by direct Institute intervention or funded initiatives will substantiate the percentage of Texas regions with services and activities addressed in the *Texas Cancer Plan*.
Data Limitations:	Inclusion of a Texas region in this calculation does not imply that all of the goals, objectives, and strategies related to the *Texas Cancer Plan* have been implemented.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than target

Output Measure A.1.1.1	Number of Entities Relocating to Texas for Cancer-Research Related Projects
Short Definition:	The total number of business or research entities which establish new business or research operations in Texas in order to participate in an Institute-funded grant award.
Purpose/Importance:	This measure indicates the level of attraction of cancer research funding to draw new businesses and research entities to Texas.
Source/Collection of Data:	Annual status or other reports from a grant recipient documenting the relocation of a business or research entity due to the research project funded by the Institute.

Method of Calculation:	The total number of business or research entities relocating to Texas documented in status reports from grant award recipients.
Data Limitations:	None
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than the target

Output Measure A.1.1.2	Number of Researchers Recruited to Texas to Conduct Cancer Research
Short Definition:	The total number of scientific researchers who relocate to Texas for a faculty position at a Texas based academic institution.
Purpose/Importance:	This measure indicates the number of scientific researchers in the area of cancer research attracted to Texas because of the availability of CPRIT research grant funds.
Source/Collection of Data:	CPRIT records of the number of academic institutions awarded a grant ratified by the Oversight Committee based on a grant application to recruit a scientific researcher to their institution.
Method of Calculation:	The total number of researchers recruited to Texas during the fiscal year documented by the ratified award slates and Oversight Committee meeting minutes which record these award decisions.
Data Limitations:	None. All data is the result of the number of research recruitment grants awarded to academic institutions.
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than the target

Output Measure A.1.2.1	Number of People Served by Institute Funded Prevention and Control Activities
Short Definition:	Total verified number of people in Texas receiving cancer related information or services provided by the Institute or Institute funded initiatives. Duplicate counts may occur if people make multiple contacts with Institute initiatives.
Purpose/Importance:	This measure is an indication of the prevention program's reach to Texans with effective science-based programs and/or services.
Source/Collection of Data:	The number of persons in Texas receiving cancer related information and services is reported in prevention grantees' quarterly reports.
Method of Calculation:	Institute staff verifies the number of people served from grantees' quarterly reports and creates a cumulative total that is substantiated by records retained at grantees' sites.

Data Limitations:	The majority of data reported by the Institute involves work done by grantees and their subcontractors. This can create a lag time in reported data resulting in a need for updating previously reported numbers. Large variances in performance from quarter to quarter and year to year are likely to occur due to the wide variety of programs and services funded by the Institute, including some grant projects ending and others beginning.
Calculations Type:	Cumulative
New Measure:	Yes
Desired Performance:	Higher than the target

Output Measure A.1.3.1	Number of Grants Reviewed for Compliance
Short Definition:	Total number of active grants reviewed by CPRIT grant monitors, who may be agency staff or contracted employees, to verify compliance with CPRIT grant reporting, statutory, and rule requirements.
Purpose/Importance:	This measure is an indication of the agency workload related to the grant compliance review process.
Source/Collection of Data:	Grant monitors may conduct desk reviews of grantee reports submitted in the CPRIT Grants Management System and grantee monitoring site visits on active grants. The definition of an active grant is one that has been contracted and is not closed in the CPRIT Grants Management System.
Method of Calculation:	A grant is counted toward this measure in the quarter when a grant desk review or site visit is concluded and documented by a completed checklist or report.
Data Limitations:	Grant monitors will be able to perform a limited number of monitoring site visits in any given quarter.
Calculations Type:	Cumulative
New Measure:	Yes
Desired Performance:	Higher than target

Explanatory Measure A.1.1.1	Number of Research Grant Awards
Short Definition:	Number of research grants made by the Institute.
Purpose/Importance:	This measure indicates the workload of the Institute in awarding grants and managing those grants through their award cycles.
Source/Collection of Data:	Signed research grant awards with the Institute.
Method of Calculation:	The total number of research grant awards issued to grant recipients through signed agreements.
Data Limitations:	None
Calculations Type:	Non-cumulative

New Measure:	No
Desired Performance:	Higher than the target

Explanatory Measure A.1.1.2	Average Dollar Amount of Research Grants Awarded
Short Definition:	The average dollar amount of research grant awards made by the Institute.
Purpose/Importance:	This measure indicates the average size of grant awards issued by the Institute.
Source/Collection of Data:	Signed research grant awards with the Institute.
Method of Calculation:	The total dollar amount of research grants divided by the total number of research grants made as documented in signed agreements with the Institute.
Data Limitations:	None
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than the target

Explanatory Measure A.1.1.3	Number of Published Articles on CPRIT-Funded Research Projects
Short Definition:	Number of scientific publications that include articles that result from CPRIT funded research projects.
Purpose/Importance:	This measure indicates the level of success recognized by external research and medical institutions of CPRIT funded projects in the quest to develop breakthroughs in cancer research and prevention services.
Source/Collection of Data:	The number of publications is reported in awardees' annual reports.
Method of Calculation:	Institute staff will verify and total the number of publications reported by awardees in their report submissions. Publications are interpreted as articles that include references to actual scientific outcomes from awarded projects.
Data Limitations:	The majority of data reported by the Institute involves work done by grantees and their subcontractors. This can create a lag time in reported data resulting in a need for updating previously reported numbers. Variances in performance from quarter to quarter and year to year are likely to occur due to the variety of work done by Institute funded initiatives.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than the target

Explanatory Measure A.1.1.4	Number of New Jobs Created and Maintained
Short Definition:	An unduplicated count of the number of jobs that were created and maintained (one year) using funds provided by the Institute.
Purpose/Importance:	This measure indicates the impact of Institute funding to preserve and create new jobs; to build human resources stability in the Cancer arena.
Source/Collection of Data:	The number of jobs created and maintained is annually reported in awardees reports.
Method of Calculation:	Institute staff will verify and total the number of jobs created and maintained that are reported by awardees in their report submissions.
Data Limitations:	The majority of data reported by the Institute involves work done by grantees and their subcontractors. This can create a lag time in reported data resulting in a need for updating previously reported numbers. Variances in performance from quarter to quarter and year to year are likely to occur due to the variety of work done by Institute funded initiatives.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than the target

Explanatory Measure A.1.2.1	Annual Age-adjusted Cancer Mortality Rate
Short Definition:	Statewide annual age-adjusted cancer mortality rate, as determined by the Cancer Registry Division, Texas Department of State Health Services.
Purpose/Importance:	All of the Institute's activities positively contribute to reducing cancer mortality, as do Texas physicians, hospitals, cancer treatment centers, volunteer organizations and other health care facilities. The Institute recognizes that cancer mortality rate is the ultimate outcome measure for cancer control.
Source/Collection of Data:	The Cancer Registry Division of the Texas Department of State Health Services provides the data reported for this measure.
Method of Calculation:	The calculation age-adjusts cancer death rates to the U.S. 2000 Standard Population, as used by the National Cancer Institute.

Data Limitations:	Age-adjusted mortality rates are relative rates used nationally for comparison purposes. Age-adjusted rates fluctuate when population forecasts change and as the population ages. Cancer rates will be adjusted to the 2000 United States standard. Comparisons with previous mortality rates will require recalculations to the new standards. There is an 8-12 month delay in obtaining cancer mortality data from the Texas Department of State Health Services. A long-term, expensive study would be needed to correlate the impact of the Institute projects with the state mortality rate. Further, the impact of cancer prevention efforts on mortality rates cannot be measured in legislative budget cycles.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Lower than the target

Explanatory Measure A.1.3.1	Number of Non-compliant Grant Recipients
Short Definition:	Total verified number of grantees with one or more required reports that have not been filed by a report due date or of grantees who are non-compliant through their action or inaction with respect to any of CPRIT's statutes, rules or regulations.
Purpose/Importance:	The number of grantees who are out of compliance with CPRIT's grant reporting, statutory, or rule requirements at any given time can be an indication of a greater or heightened risk that proper procedures are not being followed by grantees.
Source/Collection of Data:	Data is collected primarily from reports generated by the CPRIT Grants Management System but may also include the results of grant monitoring reports, audit reports, and field investigations.
Method of Calculation:	Institute staff routinely compiles verified data from reports generated by the CPRIT Grants Management System of grantees being out of compliance with grant reporting requirements. Data from audit reports, grant monitoring reports, and field investigation reports is included as it is available.
Data Limitations:	The number of grantees with late reports may not provide an overall indication of grantees' true grant compliance efforts, particularly at institutions with multiple grant awards.
Calculations Type:	Non-cumulative
New Measure:	Yes
Desired Performance:	Lower than target

Appendix E: Workforce Plan

Overview of Statute, Mission, and Essential Functions

Texas voters overwhelmingly approved a constitutional amendment in 2007 establishing the Cancer Prevention and Research Institute of Texas (CPRIT) and authorizing the state to issue $3 billion in general obligation bonds to fund groundbreaking cancer research and prevention programs and services throughout the state. House Bill 14, 80th Texas Legislature, is the authorizing statute that charges CPRIT to:

- 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 cancer and 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 this state; and
- Develop and implement the *Texas Cancer Plan*.

Under the guidance of the Oversight Committee, CPRIT's governing board, CPRIT accepts applications and awards grants for a wide variety of cancer-related research and for the delivery of cancer prevention programs and services by public and private entities located in Texas. All CPRIT-funded research must be conducted in state by Texas-based scientists and reflect CPRIT's mission to attract and expand the state's research capabilities and create high quality new jobs in Texas.

Since the first appropriation of $225 million in bond funds became available on September 1, 2009, CPRIT has awarded funds for, among other things, individual investigator research projects; high-risk innovation research projects; evidence-based prevention programs and services; health promotion and public education prevention programs; company-based research; and professional education programs. CPRIT awards funds to academic institutions to recruit outstanding researchers to Texas as CPRIT Scholars in Cancer Research and to train exceptional pre- and postdoctoral candidates who are committed to pursuing a career in basic, translational, and clinical cancer research to cultivate the next generation of investigators and leaders in the cancer research field in Texas. CPRIT also focuses a significant amount of funding on community collaborative prevention programs for breast, cervical, and colorectal cancers and on multi-institutional collaborations to enhance the capabilities and infrastructure in Texas to improve the research resources for the future growth of the state's biotechnology industry.

All of the proposals are reviewed by nationally recognized experts who live and work outside Texas to ensure objectivity in the review process. Their advice is used by the Program Integration Committee to develop cancer research and prevention recommendations which are approved by the Oversight Committee.

Agency Workforce – Core Functions

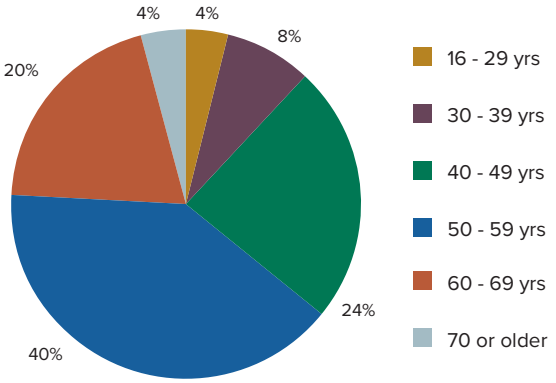
CPRIT has 32 budgeted full-time equivalent (FTE) positions headed by a Chief Executive Officer who oversees three core areas: Operations, Programs and Legal & Compliance. The substantive functions within each core consist of research, prevention, product development; information technology, human

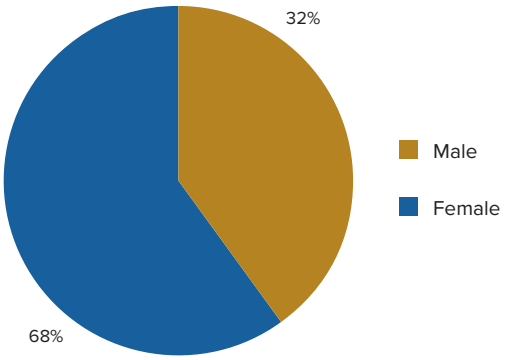
resources, finance; and legal administration. These functions are necessary to accomplish the core mission and duties of the agency.

Agency Workforce Demographics

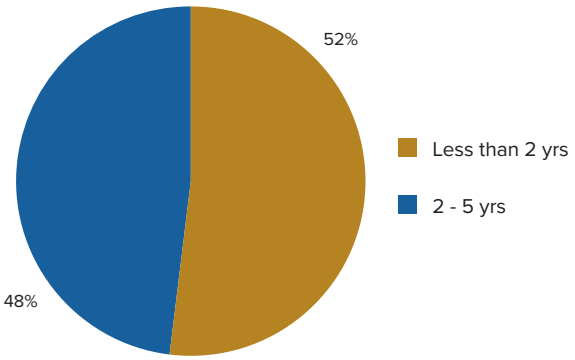
As of June 2014, CPRIT had a total headcount of 28 FTEs, three of which are contract employees. Twenty-six employees are centrally located in Austin and two are in the Houston satellite office. It is expected that the agency will be fully staffed with 32 FTEs this fiscal year. The following charts profile CPRIT's total workforce. Sixty-four percent of CPRIT's employees are over the age of 50. The agency workforce is comprised of 68% females and 32% males.

Fifty-two percent of employees have less than two years of service with the agency. Sixty percent have over 10 years of state service. The majority of employees have the potential for continued service with the agency.

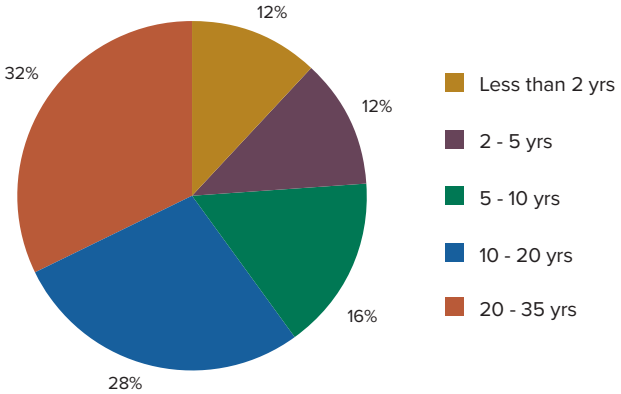




AGENCY TENURE



STATE TENURE



Workforce Breakdown

Agency Workforce Compared with Statewide Civilian Workforce

The following table compares the percentage of African American, Hispanic and female CPRIT employees (23), as of November 2013, to the statewide civilian workforce as reported by the Texas Workforce Commission Civil Rights Division.

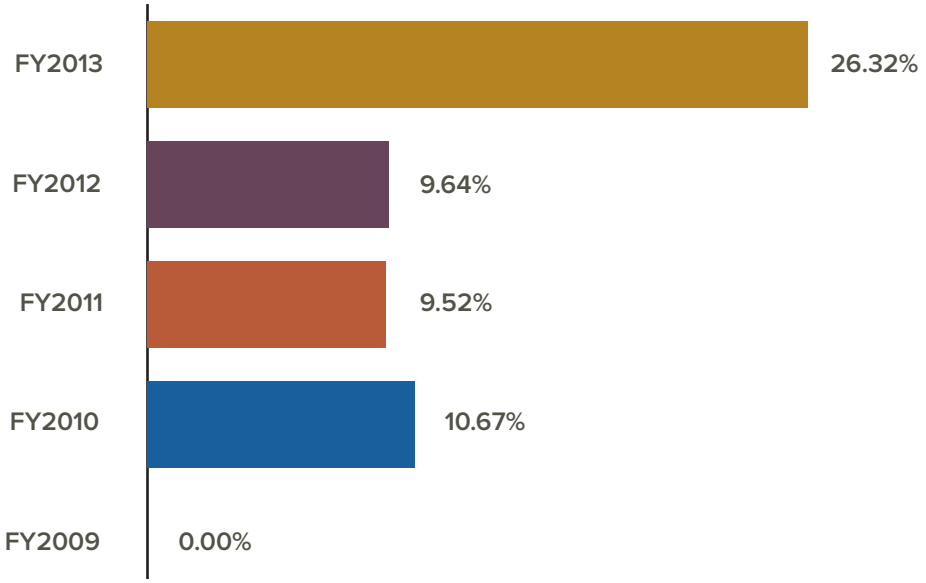
Job Category	African American		Hispanic American		Females	
	CPRIT	State	CPRIT	State	CPRIT	State
Officials, Administration	0.00%	8.99%	8.69%	19.51%	34.78%	39.34%
Professional	8.69%	11.33%	0.00%	17.40%	21.73%	59.14%
Administrative Support	0.00%	13.57%	13.04%	30.53%	17.39%	65.62%

Retirement Eligibility

CPRIT projects that up to seven employees will be eligible to retire by the end of 2017. The agency recognizes that the potential loss of employees due to retirement may be an issue. Loss of expertise along with normal attrition is possible; therefore, CPRIT strives to ensure that business knowledge and organizational expertise is not lost.

Employee Turnover

The following chart shows the CPRIT turnover during fiscal years 2009 through 2013. During this period of time, the turnover rate varied from 9.5% (two FTEs) to 26% (five FTEs). In general when turnover occurs, it



is most commonly among employees who have less than two years of service with the agency.

Essential Critical Workforce Skills Necessary for Institute Mission

CPRIT requires a workforce with a broad range of experience. It is essential in a small agency to have staff diverse in skills and experience because it is likely that an employee will perform more than one job function. The agency has qualified, dependable employees with skills necessary to meet the unique requirements of the agency's mission. To maintain quality services for Texas and carry out essential functions, the agency will continue to hire and retain employees with experience and skills in science, medicine, prevention, product development, leadership, management, administration, information technology, finance, compliance, and grant monitoring.

Future Workforce Profile (Demand and Gap Analysis)

A continuing analysis of CPRIT demands will be reviewed to ensure that there is an adequate and effective agency workforce in place. It is estimated that the CPRIT workforce will remain at 32 FTEs for the foreseeable future.

Strategy Development

CPRIT determines that there are no anticipated gaps or surpluses in workforce numbers or skills for the next five years. CPRIT will continue to follow the established recruitment plan and keep agency policies and procedures documented to ensure necessary skills are retained. CPRIT is committed to recruiting and hiring the staff necessary to continue to support the agency mission.

Appendix F: 2014 Report on Customer Service

Cancer Prevention & Research Institute of Texas

2014

Report on Customer Service

INTRODUCTION

Agency Mission

Pursuant to V.T.C.A., Health and Safety Code, Section 102.002, the Cancer Prevention and Research Institute of Texas is to create and expedite innovation in the area of cancer research and to enhance the potential for a medical or scientific breakthrough in the prevention of cancer and 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 this state; and develop and implement the Texas Cancer Plan.

Agency Philosophy

The Cancer Prevention and Research Institute of Texas will act in accordance with the highest standards of ethics, accountability, efficiency, and transparency. We affirm that our constitutional responsibility to distribute public funds to cure and mitigate cancer is a commitment to the citizens of Texas. We approach our responsibilities with purpose to honor that commitment.

The Institute's Customers

As the State of Texas' flagship agency focused on combating the scourge of cancer, CPRIT is accountable to a number of external stakeholder groups, including:

- The citizens of Texas through the Legislature and state elected leaders;
- The state's academic medicine and research community, primarily located within its public and private institutions of higher education;
- The cancer prevention community, including clinicians, health educators and health and human service agencies, philanthropies, and particularly survivors and those living with the impact of cancer on their families and communities;
- The state's emerging bioscience industry and its partners among Texas economic developers; and
- CPRIT's national and international peers and colleagues engaged in combating cancer.

Grantmaking is the focus of the main strategies (Strategies 1.1.1 and 1.1.2) in CPRIT's strategic plan and in the General Appropriations Act. Therefore, CPRIT's direct customers are entities applying for, receiving, utilizing, and administering Institute grant awards, and the particular individuals with designated roles in the grant process as defined in state law and administrative rules and procedures governing CPRIT's operations. These include principal investigators as well as program and organization managers and representatives and, notably, financial administrators and grant monitors.

The overall grant process used by CPRIT includes numerous customer service touchpoints related to the Institute's reporting requirements, which are among the most rigorous in the field of cancer research, as is appropriate for the investment of funds provided by Texas taxpayers. These touchpoints include both in-person and online interactions with CPRIT staff and systems.

Customer Service and CPRIT's Strategic Plan

The measures in CPRIT's adopted 2013-17 strategic plan do not include direct reference to customer service outcomes, outputs or efficiencies. However, it is clear that the quality, timeliness and efficiency of CPRIT's customer service are integral to the overall potential excellence of agency operations, and as a consequence the agency seeks continuous improvement in its transactions and relationships with customers.

In particular, CPRIT's ability to implement its statutory and administrative rule requirements for grant administration, monitoring and reporting is to an extent dependent on mutually satisfactory relationships with the grantees required to comply with those requirements. More broadly, it is possible for CPRIT's core goals, objectives and strategies — the awarding of grants — to be impaired by operational inefficiencies linked to customer service issues.

2014 CUSTOMER SATISFACTION SURVEY REPORT

Overview and Methodology

In April 2014, CPRIT fielded an online customer satisfaction survey to gauge perceptions and identify both successes and areas for improvement. Results of this survey include both quantitative and narrative data, which are summarized in this report.

Invitations to participate in the survey were distributed to 1,342 grantee representatives including:

- Principal investigators
- Program directors
- Company representatives
- Authorized signing officials
- Financial staff
- Office of sponsored programs staff

A total of 202 customers responded to the survey, representing a response rate of 15.1%. Of these, 78 provided written comments.

Descriptive data collected by the survey included:

- Nature of the customer's relationship with CPRIT
- Modes and methods of interaction (e.g., phone, in-person, email)
- Roles and positions of respondents

Perception data collected by the survey included customer assessments of several components of CPRIT's processes:

- Interaction with CPRIT staff
- Communications
- CPRIT's website
- Handling of complaints
- Grants application and review
- Grants feedback
- Grants helpdesk
- Post-award reporting

Narrative data was provided via open-ended comments.

Measures of Customer Service

The adopted CPRIT Strategic Plan for 2013-17 does not include specific measures related to customer service. The standard measures identified for customer service reporting among all state agencies by the Legislative Budget Board are as follows:

Outcome Measures

- **Percentage of surveyed customer respondents expressing overall satisfaction with services received:** Ranges from 34.7% – 62.9% depending on service (see below)
- **Percentage of surveyed customer respondents identifying ways to improve service delivery:** 31.6% of all respondents; 82.1% of those providing comments

Output and Explanatory Measures

- **Total customers surveyed:** 1,342, with 202 responses for a response rate of 15.1%.
- **Total customers served**: 1,342 direct customers
- **Total customers identified:** 1,342 direct customers
- **Total customer groups inventoried:** 6 customers groups

Efficiency Measures

- **Cost per customer surveyed:** $0.05

Descriptive Data

D-1. What was the nature of your contact with CPRIT? (*more than one response allowed*)

Program/Activity	Percentage	Number
Scientific & Research Programs	54.5%	110
Prevention Programs	25.7%	52
Product Development Programs	4.5%	9
Finance	26.7%	54
Legal	2.0%	4
Compliance	1.5%	3
Helpdesk	5.5%	11
Other (specify)	4.0%	8
Total Respondents		**202**

D-2. How did you contact us? (*more than one response allowed*)

Mode	Percentage	Number
Phone	50.0%	101
In Person	5.9%	12
Email	88.6%	179
Mail	2.5%	5
Total Respondents		**202**

D-3. Which category/categories best describe you? (*more than one response allowed*)

Role/Position	Percentage	Number
Principal Investigator	40.1%	81
Program Director	8.4%	17
Company Representative	4.5%	9
Authorized Signing Official (ASO)	14.9%	30
Financial Staff	22.3%	45
Other	16.3%	33
Total Respondents		**202**

Perception Data

P-1. Staff: CPRIT's staff is helpful, courteous, knowledgeable, and prompt in response to an inquiry.

Assessment	Percentage	Number
Agree	62.9%	127
Neutral	20.8%	42
Disagree	13.4%	27
Not Applicable	3.0%	6
Total Respondents		**202**

P-2. Communications: Communicating with CPRIT via telephone, mail, or electronic mail is a trouble-free and efficient process.

Assessment	Percentage	Number
Agree	53.0%	107
Neutral	24.3%	49
Disagree	21.3%	43
Not Applicable	1.5%	3
Total Respondents		**202**

P-3. Website: CPRIT's website is user-friendly, easy to understand and contains useful information on both CPRIT and the funding opportunities provided by CPRIT.

Assessment	Percentage	Number
Agree	48.0%	97
Neutral	32.2%	65
Disagree	17.3%	35
Not Applicable	2.5%	5
Total Respondents		**202**

P-4. Complaints: Complaints are easy to file and resolved in a timely manner.

Assessment	Percentage	Number
Agree	21.3%	43
Neutral	25.3%	51
Disagree	15.8%	32
Not Applicable	37.6%	76
Total Respondents		**202**

P-5. Grants Application and Review: CPRIT's grant application and review process is understandable and transparent.

Assessment	Percentage	Number
Agree	46.0%	93
Neutral	27.7%	56
Disagree	10.9%	22
Not Applicable	15.4%	31
Total Respondents		**202**

P-6. Grants Feedback: Feedback concerning my grant application and its review helps me understand my application's strengths and weaknesses.

Assessment	Percentage	Number
Agree	45.1%	91
Neutral	18.3%	37
Disagree	4.5%	9
Not Applicable	32.2%	65
Total Respondents		**202**

P-7. Grants Helpdesk: Staff is helpful, courteous, knowledgeable and prompt in answering your inquiries about grant opportunities.

Assessment	Percentage	Number
Agree	63.9%	129
Neutral	20.8%	42
Disagree	3.0%	6
Not Applicable	12.4%	25
Total Respondents		**202**

P-8. Report Submittal-Post Award: Submitting reports through CPRIT's post-award electronic grants management system is user-friendly and trouble-free.

Assessment	Percentage	Number
Agree	34.7%	70
Neutral	24.3%	49
Disagree	31.2%	63
Not Applicable	9.9%	20
Total Respondents		**202**

Narrative Data (Customer Comments)

Comments were offered in response to the following prompt language:

> *Please explain or include any additional information that you feel would help us to provide excellent customer service. Comments should be limited to feedback on customer service. If you have a question, please contact CPRIT by phone at (512) 463-3190.*

Given this prompt, it is to be expected that many comments received identify areas of potential improvement; however, many customers also identified areas of superior customer service. The observations among the 78 comments received (some comments include multiple observations) can be categorized as follows:

Assessment	Percentage	Number
Positive (identifying areas of superior customer service)	33.3%	26
Neutral (technical or process observations, including suggestions for technical improvements)	24.4%	19
Negative (identifying deficiencies in customer service)	57.7%	45
Total Comments Received		***78***
Total Observations Categorized		**90**

The following were cited in multiple **positive** observations by customers:

- General appreciation of CPRIT's efforts
- Overall timeliness of responses, particularly via phone and email
- The Grants Helpdesk and its efforts to resolve technical issues with CPRIT's online systems for grant application, review and management
- The Grants Program Management staff

The following were cited by customers in **neutral** observations:

- Specific suggestions for technical improvements that would improve the efficiency of the online systems
- Requests for further training and education of grantees, particularly in light of new requirements instituted by CPRIT in 2013 and 2014

The following were cited in multiple **negative** observations by customers:

- The overall cumbersomeness of the online post-grant management and report submittal system (by contrast, assessments of the online grant application system and of the portal used for grant review were generally positive)
- Within that system, specific difficulties caused by an inability of CPRIT staff to review and approve reports in time for grantees to avoid missing deadlines or causing delays in the distribution of funds, or to communicate rule and procedure changes
- Overall concerns with the rigor and stringency of CPRIT rules and procedures and difficulty of compliance (often held in contrast to other funding agencies such as NIH); similar feedback was received by the agency during the rulemaking process
- Complaints about the helpfulness, courtesy, capability or expertise of CPRIT financial management and reporting staff

ANALYSIS OF FINDINGS AND AGENCY RESPONSE

While we view the findings of this customer service survey as generally positive, we acknowledge there are important areas where CPRIT can improve its relationships with customers and the quality and efficiency of its services, and we are committed to doing so. Some of these include:

- We continually work with our third-party grants administrator, SRA International Inc., and with our internal IT staff on refinements to the online systems used by CPRIT customers to apply for, review, administer and report on their grants. We intend to pay particular attention to issues that have been identified with the post-award reporting system, some of which have been exacerbated by the requirements of CPRIT's new administrative rules and procedures designed to improve agency transparency and accountability.
- Pursuant to the adoption of those rules, CPRIT has already begun the process of training grantees to assist them with grant compliance. We anticipate that this training will continue as needed to ensure optimal compliance and satisfactory transactions for both customers and CPRIT.
- The agency has identified new staffing needs, particularly in post-award monitoring, and is filling or seeking to fill those positions, including both FTEs allocated to the agency under the General Appropriations Act for the current biennium as well as redefining existing positions to address these needs.

It should be noted that some of the findings of this survey, including some of the expressions of dissatisfaction provided as comments, echo concerns that CPRIT has already encountered as the agency has worked with its customers and stakeholders to restart grant operations, adopt new administrative rules, and implement new procedures during fiscal year 2014. We remain committed to open dialogue with those customers and stakeholders and continuous improvement and refinement of CPRIT's procedures and operations to ensure that the agency best fulfills its critical mission to combat cancer on behalf of the people of Texas. In keeping with our customer service standards of resolving complaints, CPRIT will provide feedback to all invited survey participants about our efforts to address concerns and expressions of dissatisfaction raised in the survey.

References

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