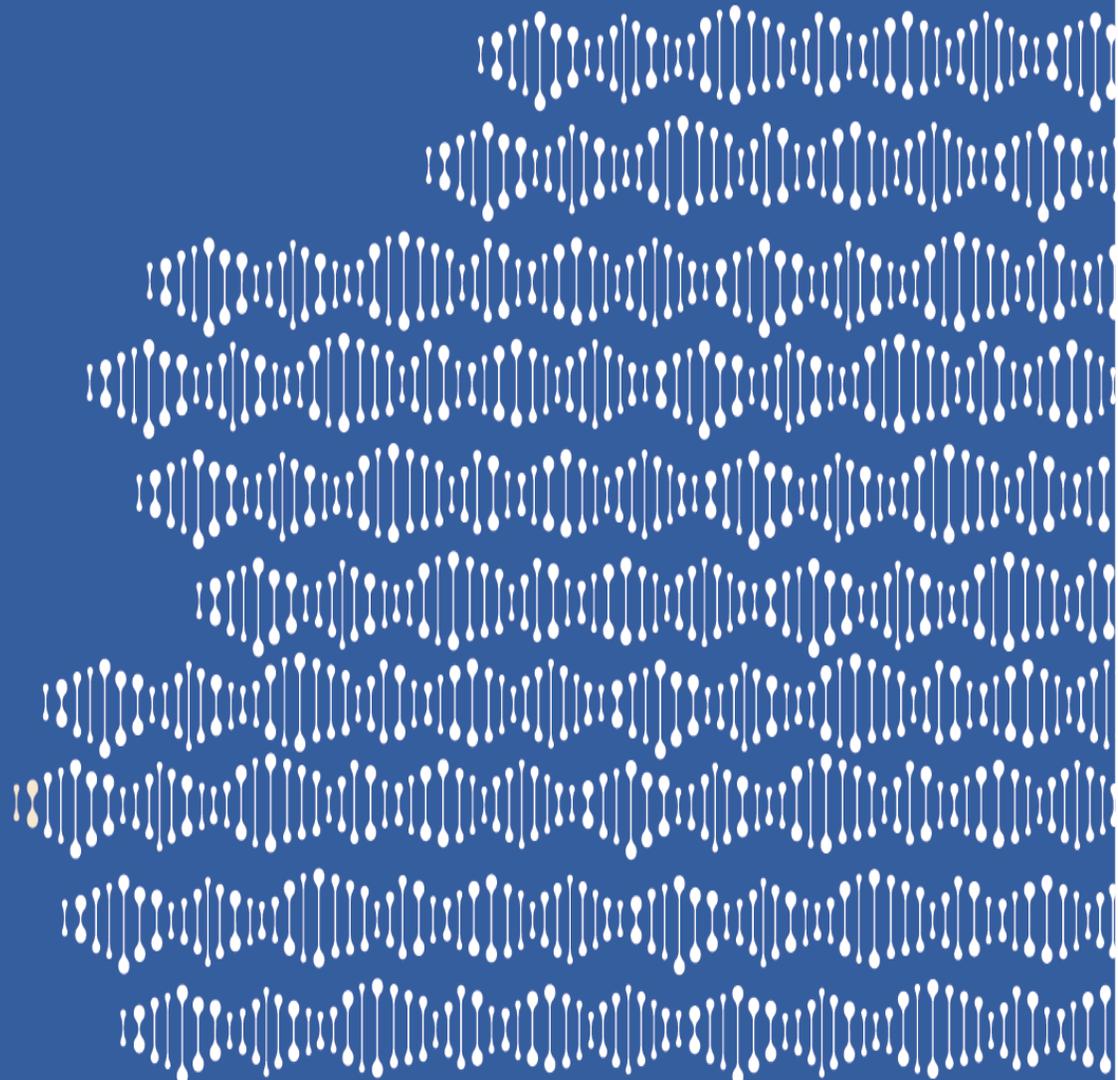




CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

Proposed Grant Awards

September 10, 2015



*Confidential until the awards are announced at the
September 10, 2015 Oversight Committee Meeting.*



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

September 4, 2015

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 6 grant applications totaling \$21,700,000. The PIC recommendations for 6 academic research recruitment awards are attached. Dr. Kripke has prepared overviews of the academic research program slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary of the recommended proposals with enough detail that you should be able to understand the substance of the proposal and the reasons endorsing grant funding. All of the information reviewed by the Review Council is available by clicking on the appropriate link in the portal. This information includes the full application, peer reviewer critiques, budget/scope change recommendations (if applicable) and the CEO affidavit for each proposal.

I note that there are three compliance issues identified by Chief Compliance Officer Vince Burgess. These will be discussed at the September 10th meeting. First, the PIC has recommended a First-Time, Tenure Track Faculty Member recruitment grant to UT Southwestern Medical Center for the recruitment of Dr. Peter Douglas. Dr. Douglas' recruitment was originally approved by the Oversight Committee at the August meeting (RR150089), however a compliance issue was identified after the application was approved. CPRIT does not have a process to correct a post-hoc compliance problem. The award was rescinded to provide the option of using CPRIT's established process for addressing compliance issues during the approval process. Mr. Burgess will address the compliance issue when he certifies the slates at the Oversight Committee meeting. At that time I will recommend a corrective action to address the variance from our process for your consideration. The corrective action is also described in the CEO affidavit for Dr. Douglas' award.

In addition, two new recruitment recommendations have compliance issues identified by Mr. Burgess. I will recommend corrective actions at the meeting and have included my recommendation in the CEO affidavits for RR160005 and RR16009.

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

The award recommendations will not be considered final until the Oversight Committee meeting on Thursday, September 10, 2015. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

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

Sincerely,
Wayne R. Roberts
Chief Executive Officer

Academic Research Award Recommendations –

The PIC unanimously recommends approval of 6 academic research recruitment grant proposals totaling \$21,700,000. The recommended grant proposals were submitted in response to one of two grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty; and Recruitment of Established Investigators. The PIC followed the recommendations made by the Scientific Review Council (SRC). The SRC met twice to consider two cycles of applications and provided the prioritized list of recommendations for the Recruitment awards to the presiding officers on September 1, 2015.

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

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

Rank	App ID	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score	Cycle
1	RR150103	RRS	The University of Texas Southwestern Medical Center	Dr. Tanja A. Gruber	\$4,000,000	1.2	RRP-10
2	RR160009	RRS	Baylor College of Medicine	Chonghui Cheng	\$4,000,000	2.0	REC 16.1
3	RR150104	RRS	The University of Texas Health Science Center at Houston	Dr. Wa Xian	\$3,700,000	2.0	RRP-10
4	RR150106	RFT	Baylor College of Medicine	Dr. Ronald Parchem	\$2,000,000	2.3	RRP-10
5	RR160005	REI	The University of Texas at Austin	Thomas Yankeelov	\$6,000,000	2.4	REC 16.1

RFT = Recruitment of First-Time, Tenure-Track Faculty Members
 REI = Recruitment of Established Investigators
 RRS = Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: VINCE BURGESS, CHIEF COMPLIANCE OFFICER
SUBJECT: COMPLIANCE CERTIFICATION – SEPTEMBER 2015 AWARDS
DATE: SEPTEMBER 4, 2015

Summary and Recommendation:

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

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

I have conferred with staff at CPRIT and SRA International (SRA), CPRIT’s contracted third-party grant administrator, and studied the supporting grant review documentation, including third-party observer reports for the peer review meetings. I am satisfied that the application review process that resulted in the above mechanisms recommended by the Program Integration Committee followed applicable laws and agency administrative rules. I certify these Academic Research award recommendations for the Oversight Committee’s consideration.

Background:

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

CPRIT uses a compliance pedigree to formally document compliance for the grant awards. The compliance pedigree tracks a grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree

is entered and attested to by SRA employees and CPRIT employees. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by SRA. This is done to minimize the opportunity for error caused by manual data entry.

No Prohibited Donations:

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

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

Pre-Receipt Compliance:

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

Five applications were received in response to the Recruitment of Rising Stars RFA. Six applications were received in response to the Recruitment of First-Time, Tenure Track Faculty

Members RFA, however, one application withdrew before the Scientific Review Council (SCR). One application was received in response to the Recruitment of Established Investigators RFA.

I reviewed the application pedigrees for each of the 11 Academic Research grant applicants that underwent peer review. All of the applicants registered through CARS and submitted applications by the deadline. No applicants requested an extension. It should be noted that the RFAs were not published in the Texas Register as required by T.A.C. § 703.3(b) at the time applications for cycle REC 16.1 were submitted via CARS. However, the RFAs were published on CPRIT's website on June 22, 2015, prior to the submission of applications. The two applications impacted by this compliance issue are RR160009 and RR160005.

Receipt, Referral, and Assignment Compliance:

Once applications have been submitted through CARS, SRA staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, SRA notifies the program officer and the program officer makes the final decision to administratively withdraw the application. The peer review panel chair assigns applications to peer review primary reviewers. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

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

Peer Review:

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

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

I also reviewed and confirmed that the post review conflict of interest statements were signed by all six SRC members that attended the SRC meetings on July 16, 2015 and August 13, 2015.

Programmatic Review:

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

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

To the extent that any Review Council member identified a conflict of interest, I reviewed documentation confirming that the Review Council member did not participate in the discussion or vote on the application(s).

I also reviewed the third-party observer reports for each review panel and Review Council meeting. The third-party observer reports document that the panel and Review Council discussions were limited to the merits of the applications and established evaluation criteria and that reviewers with conflicts of interest exited the room or the conference call when the application was discussed. No issues were recorded in the third-party observer reports.

Program Integration Committee Review:

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

I attended the September 4, 2015, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered five new applications and one re-recommendation by the Scientific Review Council, and voted to recommend all six applications to the Oversight Committee.

Regarding the one re-recommendation, Grant RR150089 was submitted in response to the Recruitment for First-Time, Tenure Track Faculty Members Request for Applications (RFA R-15-RFT) for Recruitment Cycle RRP-9, originally approved by the SRC on Thursday, June 11, 2015, recommended by the PIC on Thursday, July 30, 2015, and approved by the Oversight

Committee on Wednesday, August 19, 2015. After the August 19th Oversight Committee meeting, CPRIT was made aware that the candidate had accepted a position, related to the recruitment award, with UTSW on July 25, 2015 prior to final Oversight Committee approval. The RFA for this mechanism states, “Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary.” As a result, the award was rescinded. On September 1, 2015, the SRC re-recommended this recruitment application, believing the candidate warranted reconsideration by the PIC and the Oversight Committee.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: MARGARET KRIPKE, PH.D.
SUBJECT: FY16 RECRUITMENT AWARDS, CYCLE RRP-10 AND REC 16.1
DATE: SEPTEMBER 1, 2015

The applications recommended for funding by the CPRIT Scientific Review Council (SRC) have been reviewed and approved by the Program Integration Committee (PIC). Applications were submitted in response to Recruitment of Established Investigator (REI), Recruitment for First-Time, Tenure Track Faculty Members (RFT), and Recruitment of Rising Stars (RRS) Request for Applications for Recruitment Cycles RRP-10 and REC 16.1. Seven applications were received for RRP-10 (Recruitment of Established Investigator (REI) - 0, Recruitment for First-Time, Tenure Track Faculty Members (RFT) - 5, and Recruitment of Rising Stars (RRS) - 2). Six of the seven applications were reviewed, and one (RFT) was administratively rejected for ineligibility. Five applications were received and reviewed for REC 16.1 (Recruitment of Established Investigator (REI) - 1, Recruitment for First-Time, Tenure Track Faculty Members (RFT) - 1, and Recruitment of Rising Stars (RRS) - 3). Five applications in total were recommended for funding by the SRC for both cycles. One application for Recruitment of First-Time, Tenure-Track Faculty Members, one for Recruitment of Established Investigators, and three for Recruitment of Rising Stars have been recommended for a combined amount of \$19,700,000.

Recruitment of Established Investigators (RFA R-16-REI)

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

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

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

Questions that were considered by reviewers include: Has the candidate made significant, transformative, and sustained contributions to basic, translational, clinical or population-based cancer

research? Is the candidate an established and nationally and/or internationally recognized leader in the field? Has the candidate demonstrated excellence in leadership and teaching? Has the candidate provided mentorship, inspiration, and/or professional training opportunities to junior scientists and students? Does the candidate have a strong record of research funding? Does the candidate have a publication history in high-impact journals? Does the candidate show evidence of collaborative interaction with others?

Thomas Yankeelov, Ph.D., is being recruited to The University of Texas at Austin from the Department of Radiology and Radiological Sciences, Physics, Biomedical Engineering, and Cancer Biology at Vanderbilt University. His research focuses on the development and application of advanced, in vivo imaging methods for predicting treatment response in cancer and extends from mathematical modeling, to applications in pre-clinical models, to implementation in human studies.

Recruitment of Rising Stars (RFA R-15-RRS and R-16-RRS)

Applications Reviewed:	5
Applications Recommended:	3
Total Funding Request:	\$11,700,000

The aim of this RFA is to recruit outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research. Award: Up to \$4 million over a period of 5 years.

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

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

Tanja A. Gruber, M.D., Ph.D., is being recruited to The University of Texas Southwestern Medical Center from the Department of Oncology, St. Jude Children's Research Hospital, and the University of Tennessee Health Science Center, College of Medicine, Department of Pediatrics. Dr. Gruber is an emerging national leader in research and treatment of childhood leukemias. Her primary research interests are delineating genomic and molecular bases of high-risk childhood leukemias. She has translated work from her laboratory to the clinic in the form of two investigator-initiated clinical trials. Dr. Gruber's unique research interests will benefit the institution as they span from determination of the genomic landscape of acute megakaryoblastic leukemia and MLL-rearranged infantile acute lymphoblastic leukemia, to the definition of the role of epigenetic drivers of these diseases, to sophisticated preclinical models of hematologic malignancies and the development of novel clinical trials.

Wa Xian, Ph.D., is being recruited to The University of Texas Health Science Center at Houston from the University of Connecticut, Department of Genetics. Dr. Xian's research is focused on the study of

stem cell genomics and the roles that stem cells play in the evolution of cancer including chemotherapy resistance with the goal of eradicating the recurrence of high-grade ovarian cancer by developing new methodologies to detect and treat drug-resistant ovarian cancer stem cell clones. She has also adapted the cloning technology that she developed to understand the origin and evolution of precancerous lesions that give rise to cancers of the upper gastrointestinal tract such as esophageal and gastric adenocarcinoma as well as cancer of the pancreatic duct.

Chonghui Cheng, M.D., Ph.D., is being recruited Baylor College of Medicine from Northwestern University Feinberg School of Medicine, Division of Hematology/Oncology. Dr. Cheng has established experimental systems that moved alternative splicing, a concept that has been largely studied in vitro, into in vivo models allowing for the investigation of alternative splicing in cancer processes, such as epithelial-mesenchymal transition (EMT). Her work led to the discovery of a novel splicing-mediated pathway that drives cancer metastasis in patients, and demonstrated that splice isoform switching causally controls EMT and breast tumor progression. Currently, Dr. Cheng leads a team comprising cancer biologists, RNA biologists, engineers, bioinformaticians, and breast cancer clinicians who are working actively towards understanding and targeting alternative splicing alterations in cancer.

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

Applications Reviewed:	5
Applications Recommended:	1
Total Funding Request:	\$2,000,000

The aim of this RFA is to recruit and support very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research. Award: Up to \$2 million over a period of 4 years.

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

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

One First-Time, Tenure-Track Faculty Award candidate is being recommended for recruitment to Baylor College of Medicine. Listed below is the candidate with his associated expertise. He has an outstanding training and records of achievement and a strong commitment to cancer research.

- **Ronald Parchem, Ph.D.**, (BCM) - microRNAs, cancer stem cells, miRs, RAS, pancreas, glioma, germ cells, development



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE MEMBERS
FROM: MARGARET KRIPKE, PH.D.
SUBJECT: FY16 RECRUITMENT AWARDS, RENOMINATION OF DR. PETER DOUGLAS
DATE: SEPTEMBER 1, 2015

The application recommended for funding that was reviewed and approved by the CPRIT Scientific Review Council (SRC) on behalf of Dr. Peter Douglas who was recruited to The University of Texas Southwestern Medical Center (UTSW) is being resubmitted for approval by the PIC based on special circumstances. His application was submitted in response to the Recruitment for First-Time, Tenure Track Faculty Members Request for Applications (RFA R-15-RFT) for Recruitment Cycle RRP-9, originally approved by the SRC on Thursday, June 11, 2015, recommended by the PIC on Thursday, July 30, 2015, and approved by the Oversight Committee on Wednesday, August 19, 2015. The total amount of his award was \$2,000,000.

After the August 19th Oversight Committee meeting, we were made aware that Dr. Douglas had accepted a position, related to the recruitment award, with UTSW on July 25, 2015 prior to final Oversight Committee approval. The RFA for this mechanism states, "Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary." This language would render this recruitment application ineligible for award under normal circumstances. However, Dr. Douglas was faced with extenuating family circumstances that required him to move to Dallas prior to final approval. CPRIT staff informed UTSW that the award for Dr. Douglas would be rescinded and resubmitted for approval by the PIC and OC based on these circumstances. The SRC was polled on September 1st and agreed that Dr. Douglas was a worthy candidate and warranted reconsideration by the PIC and OC for a new award. The PIC concurred with the SRC recommendation that the Oversight Committee move forward with approving a new recruitment award for Dr. Douglas based on special circumstances.

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

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

The aim of this RFA is to recruit and support very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research. Award: Up to \$2 million over a period of 4 years.

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

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

- **Peter Douglas, Ph.D.** (UTSW) - Molecular biology, cell signaling, biochemistry, cancer biology



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

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

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 12 applications, including three that were withdrawn, for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

This application was originally reviewed and approved by the Oversight Committee on August 19, 2015. Following the meeting, CPRIT learned that Dr. Douglas accepted a position with UT Southwestern Medical Center (UTSW) on July 20, 2015. The First-Time, Tenure Track Request for Applications (RFA) states, “Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary.” When UTSW was contacted to confirm Dr. Douglas’ start date, they requested that CPRIT consider extenuating circumstances. CPRIT does not have a process to address a post-hoc compliance problem. The award was rescinded to provide the option of using CPRIT’s established process for addressing compliance issues during the approval process.

Since employment decisions are often time sensitive, it is CPRIT’s standard course of action to notify nominating institutions of the Scientific Review Council’s (SRC) decision related to a recruitment application. In this case, UTSW was notified shortly after the SRC’s June 13, 2015, meeting that the Dr. Douglas recruitment application would be recommended to the PIC and the Oversight Committee. Dr. Douglas was anxious to move to Texas as soon as possible in order to have his children enrolled in school and for other personal family issues. Knowing that Dr. Douglas’ application has been approved by the SRC, UTSW permitted him to arrive early to

accommodate his family issues. UTSW Dean Dr. Gregory Fitz states, “We recognize that no award is final until approved by the Board, but I want to assure you that the recruitment efforts to bring Peter Douglas to Texas and seek CPRIT funding were all performed in good faith and in compliance with the spirit of the First-Time Investigator Award. Indeed, he would not have come here without the CPRIT support.”

Based on these extenuating circumstances, I find that good cause exists to recommend that the Oversight Committee approve the PIC’s recommendation to award a First-Time, Tenure Track recruitment grant to UTSW for the recruitment of Dr. Douglas despite UTSW’s failure to comply with the RFA.

Going forward, the Chief Scientific Officer will consider revising the RFA and notification process to avoid this situation arising again. The Chief Compliance Officer will add a line to the compliance pedigree for all recruitment grants.

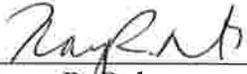
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will

Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

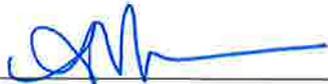
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 4th day of September, 2015,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160005
Recruitment of Established Investigators
Nomination of Dr. Thomas Yankeelov

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

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

- The applicable Request for Applications (RFA) for this grant cycle

The Established Investigator Request for Applications (RFA) was not published in the Texas Register as required by T.A.C. § 703.3(b) at the time that the application was submitted and reviewed. However, the RFA was available via CPRIT’s public website since June 22, 2015. This was an administrative process problem on CPRIT’s side; the applicant had no way of addressing CPRIT’s failure to comply with its process. Based on these extenuating circumstances, I find that good cause exists to recommend that the

Oversight Committee approve the PIC's recommendation to award a grant for the recruitment of Established Investigator recruitment candidate Dr. Thomas Yankeelov.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



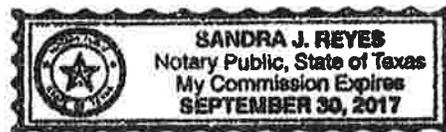
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 4th day of September, 2015,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160009
Recruitment of Rising Stars
Nomination of Dr. Chonghui Cheng

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received 5 applications for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle

The Rising Star Request for Applications (RFA) was not published in the Texas Register as required by T.A.C. § 703.3(b) at the time that the application was submitted and reviewed. However, the RFA was available via CPRIT’s public website since June 22, 2015. This was an administrative process problem on CPRIT’s side; the applicant had no way of addressing CPRIT’s failure to comply with its process. Based on these extenuating circumstances, I find that good cause exists to recommend that the Oversight

Committee approve the PIC's recommendation to award a grant for the recruitment of Rising Star recruitment candidate Dr. Chonghui Cheng.

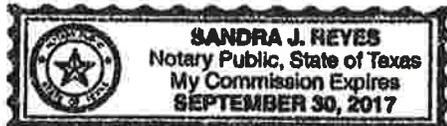
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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

State of Texas County of Travis
SWORN to and SUBSCRIBED before me, the undersigned authority, on the <u>4th</u> day of <u>September</u> , 2015, by WAYNE R. ROBERTS.
 _____ Sandra Reyes Notary Public, State of Texas
 Notary without Bond

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

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

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

The identity of the attesting party is retained by CPRIT.

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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150104
APPLICATION TITLE Nomination of Dr. Wa Xian for CPRIT Rising Stars Award
NOMINATOR NAME Colasurdo, Giuseppe
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/19/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/25/15	08/04/15
	Primary Reviewer 2 COI signed	06/23/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/03/15	08/04/15
	Primary Reviewer 2 critique submitted	07/14/15	08/04/15
	COI indicated by non-primary reviewer	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
	Recommended for SRC Review	YES	08/04/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

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

FY 2016
CYCLE 1
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR160005
APPLICATION TITLE Dr. Thomas Yankeelov: Predictive Oncology through Advanced in vivo Imaging
APPLICANT NAME Wood, Sharon
ORGANIZATION The University of Texas at Austin
PANEL NAME Recruitment FY16 Cycle 1 (REC_16.1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	Not Published	09/01/15
	CPRIT Application Receipt Cycle opened	06/22/15	08/31/15
	CPRIT Application Receipt Cycle closed	07/20/15	08/31/15
	Date application submitted	07/17/15	08/31/15
	Method of submission	CARS	08/31/15
	Within receipt period	YES	08/31/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/31/15
	Donation(s) made to CPRIT/foundation	NO	08/31/15
	Assigned to primary reviewers	07/30/15	08/31/15
	Applicant notified of review panel assignment	N/A	08/31/15
	Primary Reviewer 1 COI signed	07/25/15	08/31/15
	Primary Reviewer 2 COI signed	08/03/15	08/31/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/15	08/31/15
	Primary Reviewer 2 critique submitted	08/10/15	08/31/15
	COI indicated by non-primary reviewer	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	Discussed at Peer Review Meeting	YES	08/31/15
	Peer Review Meeting	08/13/15	08/31/15
	Post review statements signed	08/19/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Score report delivered to CSO	08/24/15	08/31/15
Recommended for SRC Review	YES	08/31/15	
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	SRC Meeting	08/13/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Recommended for grant award	YES	08/31/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR150106
APPLICATION TITLE Ronald Parchem: First-Time Tenure-Track Recruit
NOMINATOR NAME Kuspa, Adam
ORGANIZATION Baylor College of Medicine
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/19/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/23/15	08/04/15
	Primary Reviewer 2 COI signed	06/30/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/08/15	08/04/15
	Primary Reviewer 2 critique submitted	07/15/15	08/04/15
	COI indicated by non-primary reviewer	Tempero, Margaret	08/04/15
	COI recused from participation	YES	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
Recommended for SRC Review	YES	08/04/15	
4. Final SRC Recommendation	COI indicated by SRC member	Tempero, Margaret	08/04/15
	COI recused from participation	YES	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
Advance authority approved by Oversight Committee	NO	09/10/15	

The identity of the attesting party is retained by CPRIT.

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

FY 2016
CYCLE 1
PROGRAM Research
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR160009
APPLICATION TITLE Rising Star Recruit: Chonghui Cheng, MD, PhD
APPLICANT NAME Kuspa, Adam
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY16 Cycle 1 (REC_16.1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	Not Published	09/01/15
	CPRIT Application Receipt Cycle opened	06/22/15	08/31/15
	CPRIT Application Receipt Cycle closed	07/20/15	08/31/15
	Date application submitted	07/20/15	08/31/15
	Method of submission	CARS	08/31/15
	Within receipt period	YES	08/31/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/31/15
	Donation(s) made to CPRIT/foundation	NO	08/31/15
	Assigned to primary reviewers	07/30/15	08/31/15
	Applicant notified of review panel assignment	N/A	08/31/15
	Primary Reviewer 1 COI signed	07/25/15	08/31/15
	Primary Reviewer 2 COI signed	07/24/15	08/31/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/15	08/31/15
	Primary Reviewer 2 critique submitted	08/10/15	08/31/15
	COI indicated by non-primary reviewer	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	Discussed at Peer Review Meeting	YES	08/31/15
	Peer Review Meeting	08/13/15	08/31/15
	Post review statements signed	08/19/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Score report delivered to CSO	08/24/15	08/31/15
	Recommended for SRC Review	YES	08/31/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	SRC Meeting	08/13/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Recommended for grant award	YES	08/31/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	09/04/15	09/10/15
	COI indicated by Oversight Committee member	NONE	09/10/15
	COI recused from participation	N/A	09/10/15
	Donation(s) made to CPRIT/foundation	NO	09/10/15
	Presented to CPRIT Oversight Committee	09/10/15	09/10/15
	Award approved by Oversight Committee	YES	09/10/15
	Authority to advance funds requested	NO	09/10/15
	Advance authority approved by Oversight Committee	NO	09/10/15

The identity of the attesting party is retained by CPRIT.

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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150103
APPLICATION TITLE Nomination of Tanja A. Gruber, M.D., Ph.D. for a CPRIT Rising Star Award
NOMINATOR NAME Fitz, John
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/16/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/27/15	08/04/15
	Primary Reviewer 2 COI signed	06/23/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/10/15	08/04/15
	Primary Reviewer 2 critique submitted	07/14/15	08/04/15
	COI indicated by non-primary reviewer	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
	Recommended for SRC Review	YES	08/04/15
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	COI recused from participation	N/A	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.

CPRIT Scientific Review Council Observation Report

Report #2015-231

Panel Name: FY15.2 Recruitment Review Panel – 10

Panel Date: July 16, 2015

Report Date: July 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on July 16, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 16, 2015.

The independent observer noted the following during our observation:

- Six applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting, but the individuals were not present and did not participate in the discussions of the applications.

- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Scientific Review Council Observation Report

Report #2015-232

Panel Name: FY16.1 Recruitment Review Panel

Panel Date: August 13, 2015

Report Date: August 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on August 13, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on August 13, 2015.

The independent observer noted the following during our observation:

- Five applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Ludwig Institute for
Cancer Research Ltd

September 1, 2015

Richard D. Kolodner
Ph.D.

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Via email to Bill.Rice@stdavids.com

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, July 16, 2015 and Thursday, August 13, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles RRP-10 and REC 16.1. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$19,700,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score	Cycle
1	RR150103	RRS	The University of Texas Southwestern Medical Center	Dr. Tanja A. Gruber	\$4,000,000	1.2	RRP-10
2	RR160009	RRS	Baylor College of Medicine	Chonghui Cheng	\$4,000,000	2.0	REC 16.1
3	RR150104	RRS	The University of Texas Health Science Center at Houston	Dr. Wa Xian	\$3,700,000	2.0	RRP-10
4	RR150106	RFT	Baylor College of Medicine	Dr. Ronald Parchem	\$2,000,000	2.3	RRP-10
5	RR160005	REI	The University of Texas at Austin	Thomas Yankeelov	\$6,000,000	2.4	REC 16.1

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

REI = Recruitment of Established Investigators

RRS = Recruitment of Rising Stars

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September 1, 2015

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Oversight Committee Chair
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Via email to Bill.Rice@stdavids.com

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased re-recommend the recruitment grant application submitted by The University of Texas Southwestern Medical Center on behalf of Dr. Peter Douglas (RR150089). The SRC originally met on Thursday, June 11, 2015 to consider this applications we still believe him to be a candidate worthy of CPRIT funding. The total amount for this application is \$2,000,000.

Sincerely yours,



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



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

**FY 2015—Cycle 2
FY 2016—Cycle 1**

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

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-15-RFT-2

Recruitment of First-Time Tenure-Track Faculty Members

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

Application Receipt Dates:

September 2, 2014-Aug 31, 2015

Fiscal Year Award Period

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

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RFA VERSION HISTORY

Rev 9/2/14 RFA release

1. ABOUT CPRIT

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

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

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

2. RATIONALE

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

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

3. RECRUITMENT OBJECTIVES

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

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

4. FUNDING INFORMATION

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

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

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

5. ELIGIBILITY

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

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

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

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

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

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

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

7.2. Application Components

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

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (3 pages)

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

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

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

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

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Letters of Recommendation

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

7.2.11. Research Environment (1 page)

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

7.2.12. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

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

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

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

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

8.1.1. Confidentiality of Review

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

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

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

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

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

8.2. Review Criteria

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

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

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

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

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

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

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

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12. CONTACT INFORMATION

12.1. HelpDesk

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Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time
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Tel: 866-941-7146
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Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for Research.

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CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-RFT-1

Recruitment of First-Time Tenure-Track Faculty Members

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2015**

Application Receipt Dates:

June 22, 2015-June 20, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015-August 31, 2016

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RFA VERSION HISTORY

Rev 6/22/15 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

2. RATIONALE

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

The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

3. RECRUITMENT OBJECTIVES

The goal of this award mechanism is to recruit exceptional faculty to universities and/or cancer research institutions in the state of Texas. All candidates are expected to have completed their doctoral and fellowship training and to have clearly demonstrated truly superior ability as evidenced by their accomplishments during training, proposed research plan, publication record, and letters of recommendation. This CPRIT-supported initiative is designed to enhance innovative programs of excellence by providing research support for promising, early-stage investigators **seeking their first tenure-track position**. CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be appropriate for a newly independent investigator and

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

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

4. FUNDING INFORMATION

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

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

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

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary. Such individuals may, however, apply for other CPRIT grant awards, as appropriate.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate **must not** hold an appointment at the rank of assistant professor or above (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. Candidates holding non-tenure-track appointments at the rank of assistant professor are not eligible for this award. Examples of such appointments include Research Assistant Professor, Adjunct Research Assistant Professor, Assistant Professor (Non-Tenure Track), etc. The candidate may or may not reside in Texas at the time the

application is submitted and may be nominated for a faculty position at the Texas institution where they are completing postdoctoral training.

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

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

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

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

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (3 pages)

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

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

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

Summarize the key elements of the candidate's research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in

cancer will be addressed. **This section of the application must be prepared by the candidate. References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.**

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Letters of Recommendation

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

7.2.11. Research Environment (1 page)

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

7.2.12. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

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

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

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

8.1.1. Confidentiality of Review

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

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

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

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

8.2. Review Criteria

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

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

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

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

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

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

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

Research Environment: Does the institution have the necessary facilities, expertise, and resources to support the candidate's research? Is there evidence of strong institutional support?

Will the candidate be free of major administrative/clinical responsibilities so that he or she can focus on growing his or her research? Has the institution identified a mentor who will design and execute a faculty career development plan for the candidate?

9. KEY DATES

RFA

RFA Release June 22, 2015

Application Receipt and Review Timeline

Application Receipt System opens, 7 AM CT	Application Receipt	Anticipated Application Review	Application Closing Date
June 22, 2015	Continuous	Monthly by the 15 th day of the month	June 20, 2016

10. AWARD ADMINISTRATION

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

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

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

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Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time
Wednesday, 8 a.m. to 4 p.m. central time

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Report #2015-231

Panel Name: FY15.2 Recruitment Review Panel – 10

Panel Date: July 16, 2015

Report Date: July 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on July 16, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 16, 2015.

The independent observer noted the following during our observation:

- Six applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting, but the individuals were not present and did not participate in the discussions of the applications.

- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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



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CPRIT Scientific Review Council Observation Report

Report #2015-232

Panel Name: FY16.1 Recruitment Review Panel

Panel Date: August 13, 2015

Report Date: August 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on August 13, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on August 13, 2015.

The independent observer noted the following during our observation:

- Five applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Noted Conflicts of Interest

Conflicts of Interest for Academic Research Cycles 15.2 and 16.1 Recruitment Applications

Academic Research Cycle 15.2 and 16.1 Recruitment Awards Announced at September 10, 2015, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycles 15.2 and 16.1 include *Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Established Investigators; and Recruitment of Rising Stars*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150106	Kuspa, Adam	Baylor College of Medicine	Tempero, Margaret
Applications not considered by the PIC or Oversight Committee			
RR15099	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycle 15.2 and 16.1

Application ID	Final Overall Evaluation Score
RR150106*	2.3
a	3.0
b	3.4
c	4.0
d	4.4

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

September 1, 2015

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

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Head, Laboratory of
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San Diego Branch

Distinguished Professor of
Cellular & Molecular
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Via email to Bill.Rice@stdavids.com

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, July 16, 2015 and Thursday, August 13, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles RRP-10 and REC 16.1. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$19,700,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score	Cycle
1	RR150103	RRS	The University of Texas Southwestern Medical Center	Dr. Tanja A. Gruber	\$4,000,000	1.2	RRP-10
2	RR160009	RRS	Baylor College of Medicine	Chonghui Cheng	\$4,000,000	2.0	REC 16.1
3	RR150104	RRS	The University of Texas Health Science Center at Houston	Dr. Wa Xian	\$3,700,000	2.0	RRP-10
4	RR150106	RFT	Baylor College of Medicine	Dr. Ronald Parchem	\$2,000,000	2.3	RRP-10
5	RR160005	REI	The University of Texas at Austin	Thomas Yankeelov	\$6,000,000	2.4	REC 16.1

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

REI = Recruitment of Established Investigators

RRS = Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

**FY 2015—Cycle 2
FY 2016—Cycle 1**

Recruitment of Rising Stars

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-15-RRS-2

Recruitment of Rising Stars

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

Application Receipt Dates:

September 2, 2014-August 31, 2015

Fiscal Year Award Period

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

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RFA VERSION HISTORY

Rev 9/2/14 RFA release

Rev 4/30/15 Revised Section 2 – Rationale

- Added information regarding special consideration to be given to candidates with research programs addressing CPRIT’s priority areas for research.

Revised Section 3 – Recruitment Objectives

- Revised sentence “Relevance to cancer research and to CPRIT’s priority areas are important evaluation criteria for CPRIT funding”.

Revised Section 4 – Funding Information

- Added statement that Recruitment awards will be made in the current fiscal year or the next one depending on availability of funds.

Revised Section 7.1 – Application Submission Guidelines

- Revised application receipt closing time.
- Added sentence “CPRIT will not extend the submission deadline”.
- Added sentence “During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month”

1. ABOUT CPRIT

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

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

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

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). Awards are intended to provide institutions with a competitive edge in recruiting the world’s best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT’s priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

3. RECRUITMENT OBJECTIVES

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

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

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

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

4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee, as long as the total award does not exceed \$4,000,000. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

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

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

5. ELIGIBILITY

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

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

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

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

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (nominator) must create a user account in the system to

start and submit an application. Furthermore, the Authorized Signing Official (ASO), who is the person authorized to sign and submit the application for the organization, and the Grants Contract/Office of Sponsored Projects Official, who is the individual who will manage the grant contract if an award is made, also must create a user account in CARS.

Applications will be accepted on a continuous basis throughout the remainder of FY15. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

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

Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (2 pages)

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

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

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

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.** “I understand that I do not need to have made a commitment to *<nominating institution>* before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate.”

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Research Environment (1 page)

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

7.2.11. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. 7.1. Review Process

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

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

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

8.1.1. Confidentiality of Review

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

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

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

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

8.2. Review Criteria

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

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

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

Questions to be considered by the reviewers are as follows:

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

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

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

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

9. KEY DATES

RFA

Application Receipt and Review Timeline

Application Receipt System opens, 7 AM CT	Application Receipt System closes, 3 PM CT	Anticipated Application Review
September 2, 2014	Continuous	Monthly by the 15 th day of the month

10. AWARD ADMINISTRATION

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

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

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

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

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CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-RRS-1

Recruitment of Rising Stars

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2015**

Application Receipt Dates:

June 22, 2015-June 20, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015-August 31, 2016

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RFA VERSION HISTORY

Rev 6/22/15 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

2. RATIONALE

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). Awards are intended to provide institutions with a competitive edge in recruiting the world’s best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the state of Texas. The recruitment of outstanding scientists will greatly enhance programs of scientific excellence in cancer research and will position Texas as a leader in the fight against cancer. Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT’s priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

3. RECRUITMENT OBJECTIVES

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

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

population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework.

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

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

4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee, as long as the total award does not exceed \$4,000,000. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified.

Grant funds may be used for salary support of this candidate but may not be used to construct or renovate laboratory space. Consistent with the statutory mandate that the recipient institution demonstrate that it has funds equivalent to one-half of the total grant award amount dedicated to the individual recruited, a total institutional commitment of 50% of the total award will be required. The institutional commitment can be made on a year-by-year basis and may be fulfilled by demonstrating funds dedicated to salary support and endowment for the

individual recruited as well as expenses for research support, laboratory renovation, and/or relocation to Texas. Grant funding from other sources that the recruited individual may bring with him or her to the institution may also be counted toward the amount necessary for the institutional commitment. No annual limit on the number of potential award recipients has been set.

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

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- Candidates who have already accepted a position at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary. Such individuals may, however, apply for other CPRIT grant awards, as appropriate.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of assistant or associate professor tenure-track or tenured (or equivalent) at an accredited

academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.

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

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

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

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

Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [Section 5](#) will be administratively withdrawn without review.

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (2 pages)

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

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

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

Candidates for CPRIT Scholar Awards must include the following signed statement at the end of this section. **Applications that do not contain this signed statement will be returned without review.** "I understand that I do not need to have made a commitment to *<nominating*

institution> before this application has been submitted. However, I also understand that only 1 Texas institution may nominate me for a CPRIT Recruitment Award, and this is the nomination that I have endorsed. Requests to change the recruiting institution during the recruitment process are inappropriate.”

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Research Environment (1 page)

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

7.2.11. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment. Applications approved by Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

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

8.1.1. Confidentiality of Review

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

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

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

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

8.2. Review Criteria

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

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

Questions to be considered by the reviewers are as follows:

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

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

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

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

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

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

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

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Report #2015-231

Panel Name: FY15.2 Recruitment Review Panel – 10

Panel Date: July 16, 2015

Report Date: July 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on July 16, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 16, 2015.

The independent observer noted the following during our observation:

- Six applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting, but the individuals were not present and did not participate in the discussions of the applications.

- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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



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CPRIT Scientific Review Council Observation Report

Report #2015-232

Panel Name: FY16.1 Recruitment Review Panel

Panel Date: August 13, 2015

Report Date: August 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on August 13, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on August 13, 2015.

The independent observer noted the following during our observation:

- Five applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Noted Conflicts of Interest

Conflicts of Interest for Academic Research Cycles 15.2 and 16.1 Recruitment Applications

Academic Research Cycle 15.2 and 16.1 Recruitment Awards Announced at September 10, 2015, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycles 15.2 and 16.1 include *Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Established Investigators; and Recruitment of Rising Stars*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150106	Kuspa, Adam	Baylor College of Medicine	Tempero, Margaret
Applications not considered by the PIC or Oversight Committee			
RR15099	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas

De-Identified Overall Evaluation Scores

Recruitment of Rising Stars

Academic Research Recruitment Cycle 15.2 and 16.1

Application ID	Final Overall Evaluation Score
RR150103*	1.2
RR150104*	2.0
RR160009*	2.0
e	3.0
f	3.2

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

September 1, 2015

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

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

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

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, July 16, 2015 and Thursday, August 13, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles RRP-10 and REC 16.1. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$19,700,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score	Cycle
1	RR150103	RRS	The University of Texas Southwestern Medical Center	Dr. Tanja A. Gruber	\$4,000,000	1.2	RRP-10
2	RR160009	RRS	Baylor College of Medicine	Chonghui Cheng	\$4,000,000	2.0	REC 16.1
3	RR150104	RRS	The University of Texas Health Science Center at Houston	Dr. Wa Xian	\$3,700,000	2.0	RRP-10
4	RR150106	RFT	Baylor College of Medicine	Dr. Ronald Parchem	\$2,000,000	2.3	RRP-10
5	RR160005	REI	The University of Texas at Austin	Thomas Yankeelov	\$6,000,000	2.4	REC 16.1

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

REI = Recruitment of Established Investigators

RRS = Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO Affidavit Supporting Information

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

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-15-RFT-2

Recruitment of First-Time Tenure-Track Faculty Members

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

Application Receipt Dates:

September 2, 2014-Aug 31, 2015

Fiscal Year Award Period

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

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RFA VERSION HISTORY

Rev 9/2/14 RFA release

1. ABOUT CPRIT

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

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

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

2. RATIONALE

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

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

3. RECRUITMENT OBJECTIVES

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

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

4. FUNDING INFORMATION

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

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

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

5. ELIGIBILITY

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

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

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

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

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

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

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

7.2. Application Components

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

7.2.1. Summary of Nomination (2,000 characters)

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

7.2.2. Institutional Commitment (3 pages)

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

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

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

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

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Letters of Recommendation

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

7.2.11. Research Environment (1 page)

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

7.2.12. Descriptive Biography (Up to 2 pages)

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

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

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

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

8. APPLICATION REVIEW

8.1. Review Process

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

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

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

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

8.1.1. Confidentiality of Review

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

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

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

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

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

8.2. Review Criteria

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

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

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

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

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

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

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

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

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

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

Dates of operation: September 2, 2014 onward (excluding public holidays)
Hours of operation: Monday, Tuesday, Thursday, Friday, 7 a.m. to 4 p.m. central time
Wednesday, 8 a.m. to 4 p.m. central time
Tel: 866-941-7146
E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491
E-mail: Help@CPRITGrants.org
Website: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Report #2015-229

Panel Name: FY15.2 Recruitment Review Panel – 8

Panel Date: May 14, 2015

Report Date: May 21, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on May 14, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

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

The independent observer noted the following during our observation:

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

- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

CPRIT Scientific Review Council Observation Report

Report #2015-230

Panel Name: FY15.2 Recruitment Review Panel – 9

Panel Date: June 11, 2015

Report Date: June 12, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on June 11, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

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

The independent observer noted the following during our observation:

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

- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Noted Conflicts of Interest

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

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

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

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

De-Identified Overall Evaluation Scores

Recruitment of First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycle 15.2

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

¹ RR150071 was withdrawn by the applicant after the SRC meeting but before the PIC meeting.

² RR150075 was withdrawn by the applicant after the SRC meeting but before the PIC meeting.

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

**Ludwig Institute for
Cancer Research Ltd**

September 1, 2015

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

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased re-recommend the recruitment grant application submitted by The University of Texas Southwestern Medical Center on behalf of Dr. Peter Douglas (RR150089). The SRC originally met on Thursday, June 11, 2015 to consider this applications we still believe him to be a candidate worthy of CPRIT funding. The total amount for this application is \$2,000,000.

Sincerely yours,



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

San Diego

**Ludwig Institute for
Cancer Research Ltd**

May 15, 2015

**Richard D. Kolodner
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Via email to Bill.Rice@stdavids.com

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

Dear Dr. Rice and Mr. Roberts,

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

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

Sincerely yours,



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

Attachment

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

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

REI = Recruitment of Established Investigators

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

**Ludwig Institute for
Cancer Research Ltd**

June 12, 2015

**Richard D. Kolodner
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Wayne R. Roberts
Chief Executive Officer
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Via email to wroberts@cprit.state.tx.us

Dear Dr. Rice and Mr. Roberts,

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

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

Sincerely yours,



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

Attachment

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

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

REI = Recruitment of Established Investigators



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

**CEO Affidavit
Supporting Information**

FY 2016—Cycle 1

Recruitment of Established Investigators

Request for Applications



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

REQUEST FOR APPLICATIONS

RFA R-16-REI-1

Recruitment of Established Investigators

**Please also refer to the Instructions for Applicants document,
which will be posted on June 22, 2015**

Application Receipt Dates:

June 22, 2015-June 20, 2016

FY 2016

Fiscal Year Award Period

September 1, 2015-August 31, 2016

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RFA VERSION HISTORY

Rev 6/22/15 RFA release

1. ABOUT CPRIT

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

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

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

1.1. Research Program Priorities

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The principles and priorities of the Scientific Research program will guide CPRIT staff, peer reviewers, and the Scientific Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The program priorities for research adopted by the Oversight Committee include funding projects that address:

- A broad range of innovative, investigator-initiated research projects;
- Prevention and early detection;
- Rare and intractable cancers, including childhood cancers;
- Cancers of importance in Texas;
- Computational biology and analytic methods; and
- Infrastructure Development

2. RATIONALE

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

Applications may address any research topic related to cancer biology, causation, prevention, detection or screening, or treatment. However, special consideration will be given to candidates with research programs addressing CPRIT's priority areas for research. These include Prevention and Early Detection; Computational Biology and Analytic Methods; Intractable Cancers (brain, lung, liver, pancreas) and Rare Cancers (<15,000 new cases per year), including Childhood, Adolescent and Young Adult Cancers; Population Disparities and Cancers of Particular Importance in Texas (e.g., liver, cervical and lung).

3. RECRUITMENT OBJECTIVES

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

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

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

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

4. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if

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

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

5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made. There is no limit to the number of applications that an institution may submit during a review cycle.
- Candidates who have already accepted a position at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary. Such individuals may, however, apply for other CPRIT grant awards, as appropriate.

- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT. Prior to final approval of an award, the candidate must provide the same certification.
- An applicant is not eligible to receive a CPRIT grant award if the applicant nominator, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member. Prior to final approval of an award, the candidate must provide the same certification.
- The applicant must report whether the applicant institution or organization, the nominator, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not the individuals will receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. Prior to final approval of an award, the candidate must provide the same certification.

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the

application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [Section 10](#) and [Section 11](#). All statutory provisions and relevant administrative rules can be found at www.cprit.state.tx.us.

6. RESUBMISSION POLICY

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

7. RESPONDING TO THIS RFA

7.1. Application Submission Guidelines

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

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

Applications will be accepted on a continuous basis throughout the remainder of FY16. In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 p.m. on the 20th day of each month will be reviewed by the 15th day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 p.m. CPRIT will not extend the submission deadline.

During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

7.2. Application Components

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

7.2.1. Summary of Nomination (2,500 characters)

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

7.2.2. Institutional Commitment (3 pages)

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

The letter of institutional commitment must demonstrate the organization's commitment to bringing the candidate to Texas. The following guidelines should be used when outlining the institutional match in the letter. This information may be provided as part of paragraph text or as a tabular summary that states the approximate amounts assigned to each item.

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

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

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

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

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

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

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

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

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

7.2.4. Curriculum Vitae (CV)

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

7.2.5. Summary of Goals and Objectives

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

7.2.6. Research (4 pages)

Summarize the key elements of the candidate’s research accomplishments and provide an overview of the proposed research by outlining the background and rationale, hypotheses and aims, strategies, goals, and projected impact of the focus of the research program. Highlight the innovative aspects of this effort and place it into context with regard to what pressing problem in cancer will be addressed. **This section of the application must be prepared by the candidate.**

References cited in this section must be included within the stated page limit. Any appropriate citation format is acceptable; official journal abbreviations should be used.

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

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

7.2.7. Publications

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

7.2.8. Timeline (1 page)

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

7.2.9. Current and Pending Support

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

7.2.10. Research Environment (1 page)

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

7.2.11. Descriptive Biography (Up to 2 pages)

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

This section of the application must be prepared by the candidate. If the application is

approved for funding, this section will be made publicly available on CPRIT's website. Candidates are advised not to include information that they consider confidential or proprietary when preparing this section.

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

8. APPLICATION REVIEW

8.1. Review Process

All eligible applications will be evaluated and scored by the CPRIT Scientific Review Council using the criteria listed in this RFA. Applications may be submitted continuously in response to this RFA, but will generally be reviewed on a monthly basis by the CPRIT Scientific Review Council. Council members may seek additional ad hoc evaluations of candidates. Scientific Review Council members will discuss applications and provide an individual Overall Evaluation Score that conveys the members' recommendation related to the proposed recruitment. Applications approved by Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Chapter 703, Sections 703.6–703.8.

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

8.2. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Review Council members, Program Integration Committee members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and

scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

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

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

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

8.3. Review Criteria

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for continued superb performance as a cancer researcher. Also of critical importance is the strength of the institutional commitment to the candidate. Recruitment efforts are not likely to be successful unless there is a strong commitment from CPRIT and the host institution. It is not necessary that a candidate agree to accept the recruitment offer at the time an application is submitted. However, applicant institutions should have some reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

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

Questions to be considered by the reviewers are as follows:

10. AWARD ADMINISTRATION

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

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

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

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

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

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

11. REQUIREMENT TO DEMONSTRATE AVAILABLE FUNDS

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

12. CONTACT INFORMATION

12.1. HelpDesk

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

Dates of operation: June 22, 2015, onward (excluding public holidays)

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

Tel: 866-941-7146

E-mail: Help@CPRITGrants.org

12.2. Scientific and Programmatic Questions

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

Tel: 512-305-8491

E-mail: Help@CPRITGrants.org

Website: www.cprit.state.tx.us

Third Party Observer Report

CPRIT Scientific Review Council Observation Report

Report #2015-231

Panel Name: FY15.2 Recruitment Review Panel – 10

Panel Date: July 16, 2015

Report Date: July 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on July 16, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on July 16, 2015.

The independent observer noted the following during our observation:

- Six applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- Two conflicts of interest were identified prior to or during the meeting, but the individuals were not present and did not participate in the discussions of the applications.

- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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



Grant Thornton

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CPRIT Scientific Review Council Observation Report

Report #2015-232

Panel Name: FY16.1 Recruitment Review Panel

Panel Date: August 13, 2015

Report Date: August 16, 2015

Background

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

Introduction

The subject of this report is the Scientific Review Council meeting review of recruitment applications. The meeting was chaired by Richard Kolodner and held via teleconference on August 13, 2015.

Panel Observation Objectives and Scope

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

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

Observation Results Summary

The independent observer participated in the Scientific Review Council meeting held at via teleconference. The meeting was facilitated by SRA International, CPRIT's contracted third-party grant application administrator, and chaired by Richard Kolodner on August 13, 2015.

The independent observer noted the following during our observation:

- Five applications were discussed within the Scientific Review Council meeting to determine which applications would be up for consideration for CPRIT funding.
- Six Council members, two CPRIT staff members, and two SRA employees were present for the meeting.
- No conflicts of interest were identified prior to or during the meeting.
- CPRIT program staff participation was limited to answering procedural questions and clarifying policies.
- SRA program staff did not participate in the discussions around the merits of the applications.
- The Council members' discussions were limited to the application evaluation criteria.

Disclaimer

The third-party observation did not include the following:

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

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

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

Noted Conflicts of Interest

Conflicts of Interest for Academic Research Cycles 15.2 and 16.1 Recruitment Applications

Academic Research Cycle 15.2 and 16.1 Recruitment Awards Announced at September 10, 2015, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycles 15.2 and 16.1 include *Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Established Investigators; and Recruitment of Rising Stars*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150106	Kuspa, Adam	Baylor College of Medicine	Tempero, Margaret
Applications not considered by the PIC or Oversight Committee			
RR15099	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas

De-Identified Overall Evaluation Scores

Recruitment of Established Investigators

Academic Research Recruitment Cycle 16.1

Application ID	Final Overall Evaluation Score
RR160005*	2.4

*=Recommended for funding

Final Overall Evaluation Scores and Rank Order Scores

San Diego

**Ludwig Institute for
Cancer Research Ltd**

September 1, 2015

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

Director, San Diego Branch

Head, Laboratory of
Cancer Genetics
San Diego Branch

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

rkolodner@ucsd.edu

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

T 858 534 7804
F 858 534 7750

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

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

Dear Dr. Rice and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit its list of recruitment grant recommendations. The SRC met on Thursday, July 16, 2015 and Thursday, August 13, 2015 to consider the applications submitted to CPRIT under the **Recruitment of Established Investigator, Recruitment of Rising Stars, and Recruitment for First-Time, Tenure Track Faculty Members** Request for Applications for Recruitment Cycles RRP-10 and REC 16.1. The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. There were no changes to funding amounts, goals, timelines, or project objectives requested by other applicants. The total amount for the applications recommended is \$19,700,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Mech.	Organization/Company	Candidate	Budget Requested	Overall Score	Cycle
1	RR150103	RRS	The University of Texas Southwestern Medical Center	Dr. Tanja A. Gruber	\$4,000,000	1.2	RRP-10
2	RR160009	RRS	Baylor College of Medicine	Chonghui Cheng	\$4,000,000	2.0	REC 16.1
3	RR150104	RRS	The University of Texas Health Science Center at Houston	Dr. Wa Xian	\$3,700,000	2.0	RRP-10
4	RR150106	RFT	Baylor College of Medicine	Dr. Ronald Parchem	\$2,000,000	2.3	RRP-10
5	RR160005	REI	The University of Texas at Austin	Thomas Yankeelov	\$6,000,000	2.4	REC 16.1

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

REI = Recruitment of Established Investigators

RRS = Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

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

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 12 applications, including three that were withdrawn, for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

This application was originally reviewed and approved by the Oversight Committee on August 19, 2015. Following the meeting, CPRIT learned that Dr. Douglas accepted a position with UT Southwestern Medical Center (UTSW) on July 20, 2015. The First-Time, Tenure Track Request for Applications (RFA) states, “Candidates who have already accepted a position as assistant professor tenure track at the recruiting institution are not eligible for a recruitment award as an investment by CPRIT is obviously not necessary.” When UTSW was contacted to confirm Dr. Douglas’ start date, they requested that CPRIT consider extenuating circumstances. CPRIT does not have a process to address a post-hoc compliance problem. The award was rescinded to provide the option of using CPRIT’s established process for addressing compliance issues during the approval process.

Since employment decisions are often time sensitive, it is CPRIT’s standard course of action to notify nominating institutions of the Scientific Review Council’s (SRC) decision related to a recruitment application. In this case, UTSW was notified shortly after the SRC’s June 13, 2015, meeting that the Dr. Douglas recruitment application would be recommended to the PIC and the Oversight Committee. Dr. Douglas was anxious to move to Texas as soon as possible in order to have his children enrolled in school and for other personal family issues. Knowing that Dr. Douglas’ application has been approved by the SRC, UTSW permitted him to arrive early to

accommodate his family issues. UTSW Dean Dr. Gregory Fitz states, “We recognize that no award is final until approved by the Board, but I want to assure you that the recruitment efforts to bring Peter Douglas to Texas and seek CPRIT funding were all performed in good faith and in compliance with the spirit of the First-Time Investigator Award. Indeed, he would not have come here without the CPRIT support.”

Based on these extenuating circumstances, I find that good cause exists to recommend that the Oversight Committee approve the PIC’s recommendation to award a First-Time, Tenure Track recruitment grant to UTSW for the recruitment of Dr. Douglas despite UTSW’s failure to comply with the RFA.

Going forward, the Chief Scientific Officer will consider revising the RFA and notification process to avoid this situation arising again. The Chief Compliance Officer will add a line to the compliance pedigree for all recruitment grants.

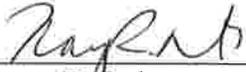
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will

Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

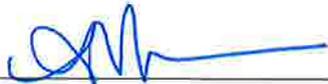
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



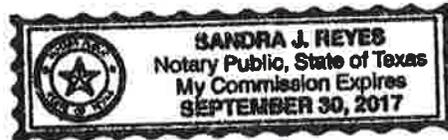
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 4th day of September, 2015, by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

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

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

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR150103
Recruitment of Rising Stars
Nomination of Dr. Tanja A Gruber

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received 5 applications for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

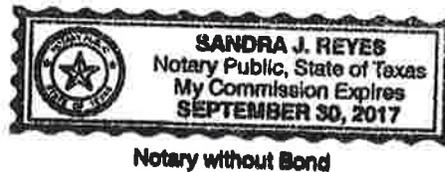
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."


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

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 4th day of September, 2015,
by WAYNE R. ROBERTS.


Sandra Reyes
Notary Public, State of Texas



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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150103
APPLICATION TITLE Nomination of Tanja A. Gruber, M.D., Ph.D. for a CPRIT Rising Star Award
NOMINATOR NAME Fitz, John
ORGANIZATION The University of Texas Southwestern Medical Center
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/16/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/27/15	08/04/15
	Primary Reviewer 2 COI signed	06/23/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/10/15	08/04/15
	Primary Reviewer 2 critique submitted	07/14/15	08/04/15
	COI indicated by non-primary reviewer	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
	Recommended for SRC Review	YES	08/04/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR150104
Recruitment of Rising Stars
Nomination of Dr. Wa Xian

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

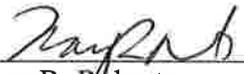
My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received 5 applications for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

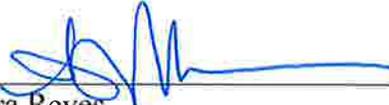
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



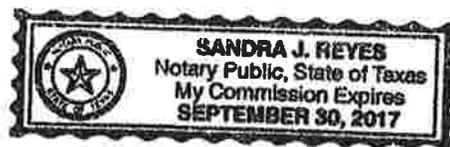
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 4th day of September, 2015,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR150104

APPLICATION TITLE Nomination of Dr. Wa Xian for CPRIT Rising Stars Award

NOMINATOR NAME Colasurdo, Giuseppe
ORGANIZATION The University of Texas Health Science Center at Houston
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/19/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/25/15	08/04/15
	Primary Reviewer 2 COI signed	06/23/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/03/15	08/04/15
	Primary Reviewer 2 critique submitted	07/14/15	08/04/15
	COI indicated by non-primary reviewer	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
	Recommended for SRC Review	YES	08/04/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/04/15
	COI recused from participation	N/A	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR150106
Recruitment of First-Time, Tenure-Track Faculty Members
Nomination of Dr. Ronald Parchem

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 6 applications for this RFA; one application was withdrawn before review. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

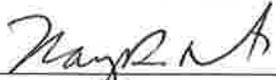
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



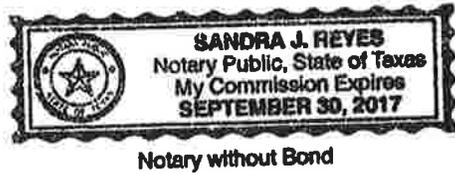
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 4th day of September, 2015,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



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

FY 2015
CYCLE 2
PROGRAM Research - Recruitment
AWARD MECHANISM Recruitment of First-Time Faculty Members (RFTFM)
APPLICATION ID RR150106
APPLICATION TITLE Ronald Parchem: First-Time Tenure-Track Recruit
NOMINATOR NAME Kuspa, Adam
ORGANIZATION Baylor College of Medicine
PANEL NAME 15.2 Recruitment Review Panel - 10 (RRP-10)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	09/19/14	08/04/15
	CPRIT Application Receipt Cycle opened	05/21/15	08/04/15
	CPRIT Application Receipt Cycle closed	06/20/15	08/04/15
	Date application submitted	06/19/15	08/04/15
	Method of submission	CARS	08/04/15
	Within receipt period	YES	08/04/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/04/15
	Donation(s) made to CPRIT/foundation	NO	08/04/15
	Assigned to primary reviewers	06/30/15	08/04/15
	Applicant notified of review panel assignment	N/A	08/04/15
	Primary Reviewer 1 COI signed	06/23/15	08/04/15
	Primary Reviewer 2 COI signed	06/30/15	08/04/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	07/08/15	08/04/15
	Primary Reviewer 2 critique submitted	07/15/15	08/04/15
	COI indicated by non-primary reviewer	Tempero, Margaret	08/04/15
	COI recused from participation	YES	08/04/15
	Discussed at Peer Review Meeting	YES	08/04/15
	Peer Review Meeting	07/16/15	08/04/15
	Post review statements signed	07/24/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Score report delivered to CSO	07/29/15	08/04/15
Recommended for SRC Review	YES	08/04/15	
4. Final SRC Recommendation	COI indicated by SRC member	Tempero, Margaret	08/04/15
	COI recused from participation	YES	08/04/15
	SRC Meeting	07/16/15	08/04/15
	Third Party Observer Report	07/16/15	08/25/15
	Recommended for grant award	YES	08/04/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160005
Recruitment of Established Investigators
Nomination of Dr. Thomas Yankeelov

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

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

- The applicable Request for Applications (RFA) for this grant cycle

The Established Investigator Request for Applications (RFA) was not published in the Texas Register as required by T.A.C. § 703.3(b) at the time that the application was submitted and reviewed. However, the RFA was available via CPRIT’s public website since June 22, 2015. This was an administrative process problem on CPRIT’s side; the applicant had no way of addressing CPRIT’s failure to comply with its process. Based on these extenuating circumstances, I find that good cause exists to recommend that the

Oversight Committee approve the PIC's recommendation to award a grant for the recruitment of Established Investigator recruitment candidate Dr. Thomas Yankeelov.

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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



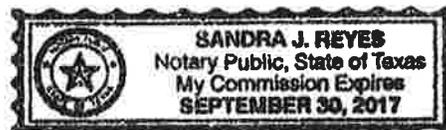
Wayne R. Roberts,
CEO, Cancer Prevention and Research Institute of Texas

State of Texas
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on
the 4th day of September, 2015,
by WAYNE R. ROBERTS.



Sandra Reyes
Notary Public, State of Texas



Notary without Bond

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

FY 2016
CYCLE 1
PROGRAM Research
AWARD MECHANISM Recruitment of Established Investigators (REI)
APPLICATION ID RR160005
APPLICATION TITLE Dr. Thomas Yankeelov: Predictive Oncology through Advanced in vivo Imaging
APPLICANT NAME Wood, Sharon
ORGANIZATION The University of Texas at Austin
PANEL NAME Recruitment FY16 Cycle 1 (REC_16.1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	Not Published	09/01/15
	CPRIT Application Receipt Cycle opened	06/22/15	08/31/15
	CPRIT Application Receipt Cycle closed	07/20/15	08/31/15
	Date application submitted	07/17/15	08/31/15
	Method of submission	CARS	08/31/15
	Within receipt period	YES	08/31/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/31/15
	Donation(s) made to CPRIT/foundation	NO	08/31/15
	Assigned to primary reviewers	07/30/15	08/31/15
	Applicant notified of review panel assignment	N/A	08/31/15
	Primary Reviewer 1 COI signed	07/25/15	08/31/15
	Primary Reviewer 2 COI signed	08/03/15	08/31/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/15	08/31/15
	Primary Reviewer 2 critique submitted	08/10/15	08/31/15
	COI indicated by non-primary reviewer	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	Discussed at Peer Review Meeting	YES	08/31/15
	Peer Review Meeting	08/13/15	08/31/15
	Post review statements signed	08/19/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Score report delivered to CSO	08/24/15	08/31/15
	Recommended for SRC Review	YES	08/31/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	SRC Meeting	08/13/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Recommended for grant award	YES	08/31/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
Advance authority approved by Oversight Committee	YES/NO		

The identity of the attesting party is retained by CPRIT.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

CEO AFFIDAVIT
Application RR160009
Recruitment of Rising Stars
Nomination of Dr. Chonghui Cheng

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Rising Stars* Request for Applications (RFA). CPRIT received 5 applications for this RFA. The application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

- The applicable Request for Applications (RFA) for this grant cycle

The Rising Star Request for Applications (RFA) was not published in the Texas Register as required by T.A.C. § 703.3(b) at the time that the application was submitted and reviewed. However, the RFA was available via CPRIT’s public website since June 22, 2015. This was an administrative process problem on CPRIT’s side; the applicant had no way of addressing CPRIT’s failure to comply with its process. Based on these extenuating circumstances, I find that good cause exists to recommend that the Oversight

Committee approve the PIC's recommendation to award a grant for the recruitment of Rising Star recruitment candidate Dr. Chonghui Cheng.

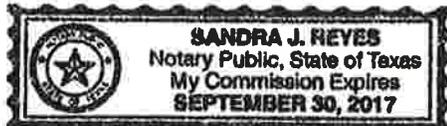
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT's grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall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

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that Dr. Margaret Kripke, Chief Scientific Officer, and Mr. Kirk Cole, Department of State Health Services Interim Commissioner, have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that members Will Montgomery and Amy Mitchell also have conflict of interest waivers on file for FY2016 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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

State of Texas County of Travis
SWORN to and SUBSCRIBED before me, the undersigned authority, on the <u>4th</u> day of <u>September</u> , 2015, by WAYNE R. ROBERTS.
 _____ Sandra Reyes Notary Public, State of Texas
 Notary without Bond

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

FY 2016
CYCLE 1
PROGRAM Research
AWARD MECHANISM Recruitment of Rising Stars (RRS)
APPLICATION ID RR160009
APPLICATION TITLE Rising Star Recruit: Chonghui Cheng, MD, PhD
APPLICANT NAME Kuspa, Adam
ORGANIZATION Baylor College of Medicine
PANEL NAME Recruitment FY16 Cycle 1 (REC_16.1)

Category	Compliance Requirement	Information	Attestation Date
1. Pre-Receipt	RFA published in Texas Register	Not Published	09/01/15
	CPRIT Application Receipt Cycle opened	06/22/15	08/31/15
	CPRIT Application Receipt Cycle closed	07/20/15	08/31/15
	Date application submitted	07/20/15	08/31/15
	Method of submission	CARS	08/31/15
	Within receipt period	YES	08/31/15
2. Receipt, Referral, and Assignment	Administrative review notification	N/A	08/31/15
	Donation(s) made to CPRIT/foundation	NO	08/31/15
	Assigned to primary reviewers	07/30/15	08/31/15
	Applicant notified of review panel assignment	N/A	08/31/15
	Primary Reviewer 1 COI signed	07/25/15	08/31/15
	Primary Reviewer 2 COI signed	07/24/15	08/31/15
3. Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/15	08/31/15
	Primary Reviewer 2 critique submitted	08/10/15	08/31/15
	COI indicated by non-primary reviewer	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	Discussed at Peer Review Meeting	YES	08/31/15
	Peer Review Meeting	08/13/15	08/31/15
	Post review statements signed	08/19/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Score report delivered to CSO	08/24/15	08/31/15
	Recommended for SRC Review	YES	08/31/15
4. Final SRC Recommendation	COI indicated by SRC member	NONE	08/31/15
	COI recused from participation	N/A	08/31/15
	SRC Meeting	08/13/15	08/31/15
	Third Party Observer Report	08/16/15	08/31/15
	Recommended for grant award	YES	08/31/15
	SRC Chair Notification to PIC and OC	09/01/15	09/01/15
5. PIC Review	COI indicated by PIC member	NONE	09/04/15
	COI recused from participation	N/A	09/04/15
	PIC review meeting	09/04/15	09/04/15
	Recommended for grant award	YES	09/04/15
6. Oversight Committee Approval	CEO Notification to Oversight Committee	DATE	
	COI indicated by Oversight Committee member	NAME or NONE	
	COI recused from participation	YES/NO or N/A	
	Donation(s) made to CPRIT/foundation	YES/NO	
	Presented to CPRIT Oversight Committee	DATE	
	Award approved by Oversight Committee	YES/NO	
	Authority to advance funds requested	YES/NO	
	Advance authority approved by Oversight Committee	YES/NO	

The identity of the attesting party is retained by CPRIT.