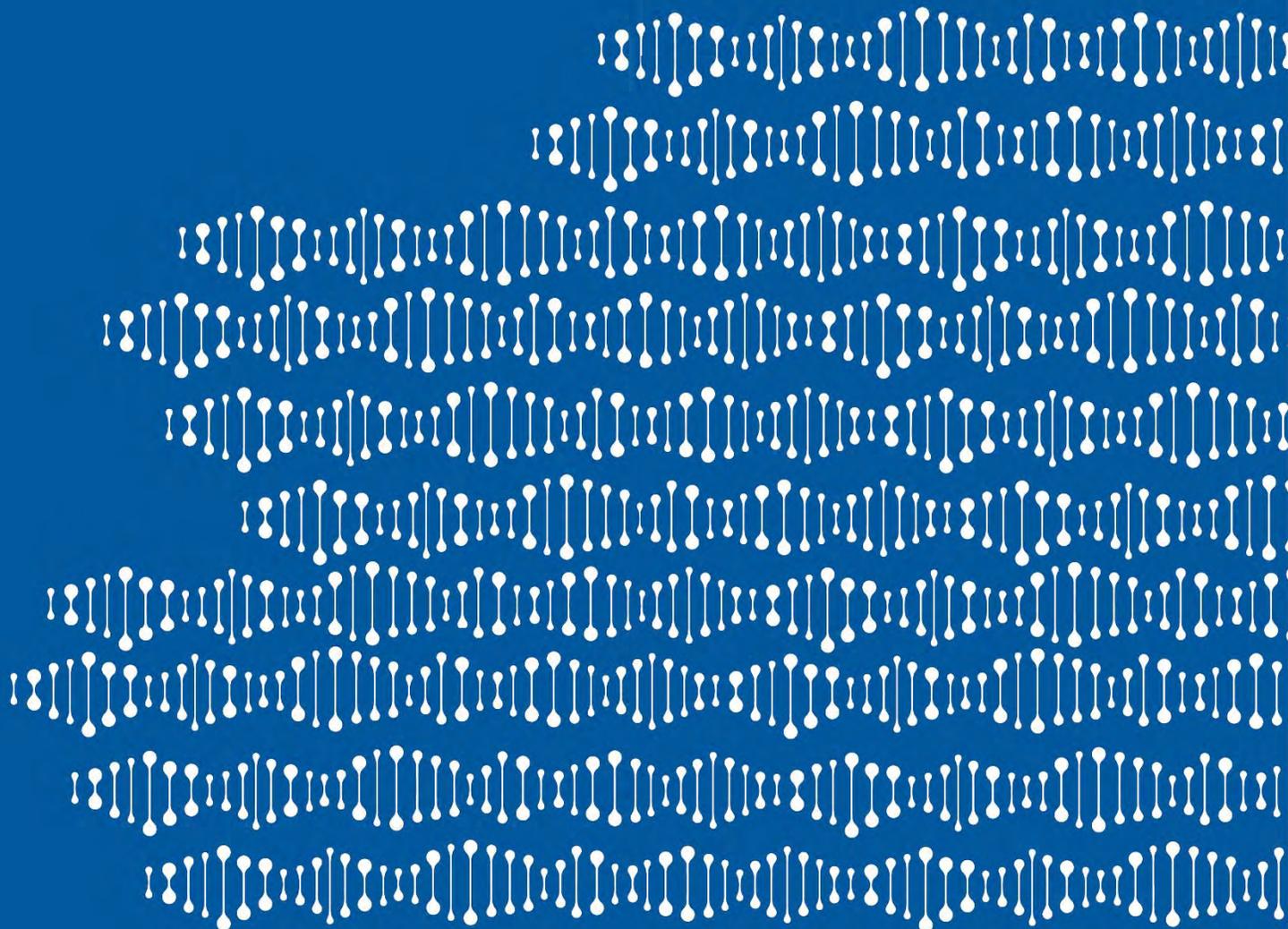




CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# Proposed Grant Awards

November 20, 2019





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**MEMORANDUM**

**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** JAMES WILLSON, M.D., CHIEF SCIENTIFIC OFFICER  
**SUBJECT:** ACADEMIC RESEARCH FY 2020 RECRUITMENT AWARD  
 RECOMMENDATIONS 19.12, 20.1, 20.2 AND 20.3  
**DATE:** NOVEMBER 20, 2019

The Program Integration Committee (PIC) met on November 4, 2019 and recommended **ten** Academic Research Awards totaling **\$38,000,000**.

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

Table 1: Grant Mechanism	SRC Recommendations	
	Awards	Funding
Recruitment of Established Investigators	4	\$24,000,000
Recruitment of Rising Stars	1	\$4,000,000
Recruitment of First-Time, Tenure Track Faculty Members	5	\$10,000,000
<b>Total</b>	<b>10</b>	<b>\$38,000,000</b>

**Program Priorities Addressed:**

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

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

Table 2: Program Priorities Addressed by Grant Recommendations		
	Program Priorities	Funding
10	Recruitment of outstanding cancer researchers to Texas	\$38,000,000
1	Disparities	\$2,000,000
*Some grants awards address more than one program priority and are double counted.		

## ***1. Recruitment of Established Investigators Slate FY 19.12, 20.1, 20.2 and 20.3.***

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

### **Purpose of Recruitment of Established Investigators Awards:**

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

### **Funding levels for Recruitment of Established Investigators Awards:**

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

### **Recommended Awards:**

During the first quarter of FY20.1, (Cycles 20.1,20.2 and 20.3) four Recruitment of Established Investigators grant applications were submitted and The Scientific Review Council recommended three candidates for an Established Investigators Award (REI). Due to insufficient funds for FY2019, the SRC reviewed but made no final recommendation for one REI application, which was finally recommended for funding by the SRC on October 10, 2019. Additionally, one application received no action on August 15, 2019, but was reviewed and recommended by the SRC on October 10, 2019. The Request for Applications notes that applications submitted in FY2019 may be announced and awarded during the first quarter of FY2020. Candidates' nominating institutions are: Rice University, The University of Texas M.D. Anderson Cancer Center and The University of Texas Southwestern Medical Center. Below is a listing of the candidates with associated expertise.

#### **RR190108**

**Candidate:** Theresa Guise, M.D.

**Funding Mechanism:** Recruitment of Established Investigators

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

**Original Organization of Nominee:** Indiana University School of Medicine

**Overall Evaluation Score [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]:** 1.5

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

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

### **Description:**

Theresa Guise, M.D., a leading physician scientist in the study of skeletal complications of cancer, including bone metastasis, bone loss and muscle weakness is recommended for a CPRIT

Established Investigator Award to support her recruitment to M.D. Anderson from Indiana University School of Medicine. Dr. Guise has received multiple honors and awards in recognition of her contributions to bone research including an NIH Outstanding Investigator Award and a Komen Scholar Award. Her pioneering work has helped to explain mechanisms by which metastatic tumors destroy bone and has contributed to FDA approved therapies for metastatic disease.

**RR200014**

**Candidate:** Ulrich G. Steidl, M.D., Ph.D.

**Funding Mechanism:** Recruitment of Established Investigators

**Applicant Organization:** The University of Texas Southwestern Medical Center

**Original Organization of Nominee:** Albert Einstein College of Medicine/Montefiore Medical Center

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: **1.6**

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

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

**Description:**

Ulrich G. Steidl, M.D., Ph.D., is an accomplished physician scientist recommended for a CPRIT Established Investigator Award to support his recruitment to UT Southwestern from Albert Einstein College of Medicine. Dr. Steidl received his M.D. and Ph.D. from the University of Heidelberg, and after residency at the University of Dusseldorf, took a research fellowship at Harvard. In 2008, he joined Einstein as an Assistant Professor and is now Professor of Medicine and Cell Biology. Dr. Steidl studies the early events that lead to the transformation of pre-cancerous stem cells to acute leukemia. Understanding the dynamics and mechanisms involved in this transformation promises to open-up the potential for future intervention to prevent malignant transformation to acute leukemia.

**RR 200016**

**Candidate:** Lingchong You, Ph.D.

**Funding Mechanism:** Recruitment of Established Investigators

**Applicant Organization:** Rice University

**Original Organization of Nominee:** Duke University

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

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

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

**Description:**

Lingchong You, Ph.D. a leading synthetic biology researcher recommended for a CPRIT Established Investigator Award to support his recruitment to Rice University from Duke University. Dr. You received a Ph.D. in Chemical Engineering from the University of Wisconsin, did postdoctoral research in synthetic biology at Cal Tech, and thereafter went to Duke in 2004 where he is now Professor of Biomedical Engineering. In the course of his studies, he developed a semipermeable polymer microcapsule for encapsulating small populations of bacteria which has allowed him to conduct extensive studies of different

enzymes and proteins generated by these bacteria in response to external stimuli over extended time periods. These “microbial swarmbot” capsules are at the core of an innovative and highly sophisticated strategy for novel cancer therapy. Dr. You will transfer research funded by the NIH, NSF and DOD.

**RR190063****Candidate:** Caroline M. Ajo-Franklin, Ph.D.**Funding Mechanism:** Recruitment of Established Investigators**Applicant Organization:** Rice University**Original Organization of Nominee:** Ernest Orlando Lawrence Berkeley National Laboratory**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.8**Recommended Total Budget Award and Duration:** \$6,000,000**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas**Description:**

Caroline Ajo-Franklin, Ph.D., an international leader in the field of synthetic biology is recommended for a CPRIT Established Investigator Award to support her recruitment to Rice from the Lawrence Berkeley National Lab. Dr. Ajo-Franklin has pioneered a new research area where cellular electron transfer is programmed to control electron flow between the inside of a microbe and conductive materials outside of cells. Her research has revealed insight into the nanoscale interface between living microbes and synthetic materials and the mechanisms underlying electrical communication and charge transfer at the living/non-living interface. These ground-breaking accomplishments now form the foundation for novel bioelectronic sensors that have the potential to transform cancer screening and detection while characterizing chemical complexities in the gastrointestinal track with greatly improved spatiotemporal resolution. At Rice, Dr. Ajo-Franklin will develop a miniaturized bioelectronic capsule that can continuously monitor multiple chemicals relevant to cancer in real-time in the GI tract.

## ***2. RECRUITMENT OF RISING STARS SLATE FY20.1, FY20.2 and FY20.3***

**Peer Review Recommendations**

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, scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

**Purpose of Recruitment of Rising Stars Awards:**

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

**Funding levels for Recruitment of Rising Stars Awards:**

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

**Recommended Awards:** One Recruitment of Rising Stars grant application was submitted and it was recommended by the SRC for a Rising Stars Award. The application received no action on August 15, 2019, due to insufficient FY2019 funds, but was reviewed and recommended on October 10, 2019, by the SRC. The Request for Applications notes that applications submitted in FY2019 may be announced and awarded during the first quarter of FY2020. The Candidates' nominating institutions is Rice University.

**RR200005**

**Candidate:** Chang Liu, Ph.D.

**Funding Mechanism:** Recruitment of Rising Stars

**Applicant Organization:** Rice University

**Original Organization of Nominee:** University of California Irvine

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

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

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

**Description:**

Chang Liu, Ph.D., is recommended for a CPRIT Rising Star award to support his recruitment to Rice University as an Associate Professor of Chemical and Biomolecular Engineering from the University of California Irvine. Dr. Liu's accomplishments have been recognized with outstanding awards including an NIH New Innovator Award and an American Chemical Society Synthetic Biology Award. At Rice he plans to pursue a synthetic biology approach to select antibodies against cancer targets using a technology he developed to generate an immune system in a test tube.

### ***3. Recruitment First-Time Tenure Track Faculty Members Slate FY 20.1, 20.2 and 20.3***

**Peer Review Recommendations**

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

on the field of cancer research, and strength of the institutional commitment to the candidate. **Purpose of First-Time Tenure Track Faculty Recruitment**

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

**Funding levels for First-Time Tenure Track Faculty Members Recruitment**

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

**Recommended Projects:**

Out of **ten** First-Time Tenure Track Faculty Members applications submitted this quarter, the SRC recommended **five** for awards. Three applications received no action on August 15, 2019, due to insufficient FY2019 funds, but were reviewed and recommended on October 10, 2019, by the SRC. The Request for Applications notes that applications submitted in FY2019 may be announced and awarded during the first quarter of FY2020. Candidates' nominating institutions are Baylor College of Medicine, The University of Texas at Dallas, The University of Texas Medical Branch at Galveston and The University of Texas Southwestern Medical Center,

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

**RR190084**

**Candidate:** Eric Welin, Ph.D.

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

**Applicant Organization:** The University of Texas at Dallas

**Original Organization of Nominee:** California Institute of Technology

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

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

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

**Description:**

Eric Welin, Ph.D., is an organic chemist recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to University of Texas at Dallas from the California Institute of Technology. Dr. Welin earned his Ph.D. at Princeton University and he is now an American Cancer Society postdoctoral fellow at the California Institute of Technology. Dr. Welin will pursue chemical and biological studies of natural products as cancer therapeutics.

**RR200009**

**Candidate:** Gloria Echeverria, Ph.D.

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

**Applicant Organization:** Baylor College of Medicine

**Original Organization of Nominee:** The University of Texas MD Anderson Cancer Center

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.2

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

**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas, Disparities

**Description:**

Gloria Echeverria, Ph.D., is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit her to Baylor College of Medicine from M.D. Anderson. She obtained her Ph.D. in Molecular and Cellular Biology at Baylor in 2013 and as a postdoctoral fellow she been successful in generating peer-reviewed funding for her work holding an NCI K22 Transition Award and an American Cancer Society postdoctoral fellowship grant. The goal of her research is to understand the high incidence of chemoresistance and metastases among patients with triple negative breast cancer.

**RR200023**

**Candidate:** Matteo Ligorio, M.D., Ph.D.

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

**Applicant Organization:** The University of Texas Southwestern Medical Center

**Original Organization of Nominee:** Massachusetts General Hospital

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.7

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

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

**Description:**

Matteo Ligorio, M.D., Ph.D. is a laboratory-based physician scientist who is recommended for a CPRIT First Time Tenure Track Faculty Member Award to support his recruitment to UT Southwestern from Massachusetts General Hospital. Dr. Ligorio, previously trained as a cancer surgeon, has developed unique approaches to study the role of the tumor stroma in the development and progression of pancreatic cancer

**RR200007**

**Candidate:** Benjamin Drapkin, M.D., Ph.D.

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

**Applicant Organization:** The University of Texas Southwestern Medical Center

**Organization of Nominee:** Harvard Medical School and Massachusetts General Hospital

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.8

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

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

**Description:**

Benjamin Drapkin, M.D. Ph.D., is a physician scientist recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to UT Southwestern from Harvard. At UT Southwestern he plans to pursue a program focused on small cell lung cancer and approaches to understand drug resistance in this highly lethal form of cancer

**RR190110**

**Candidate:** Michelle Ward, Ph.D.

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

**Applicant Organization:** University of Texas Medical Branch Galveston

**Original Organization of Nominee:** University of Chicago

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 3.0

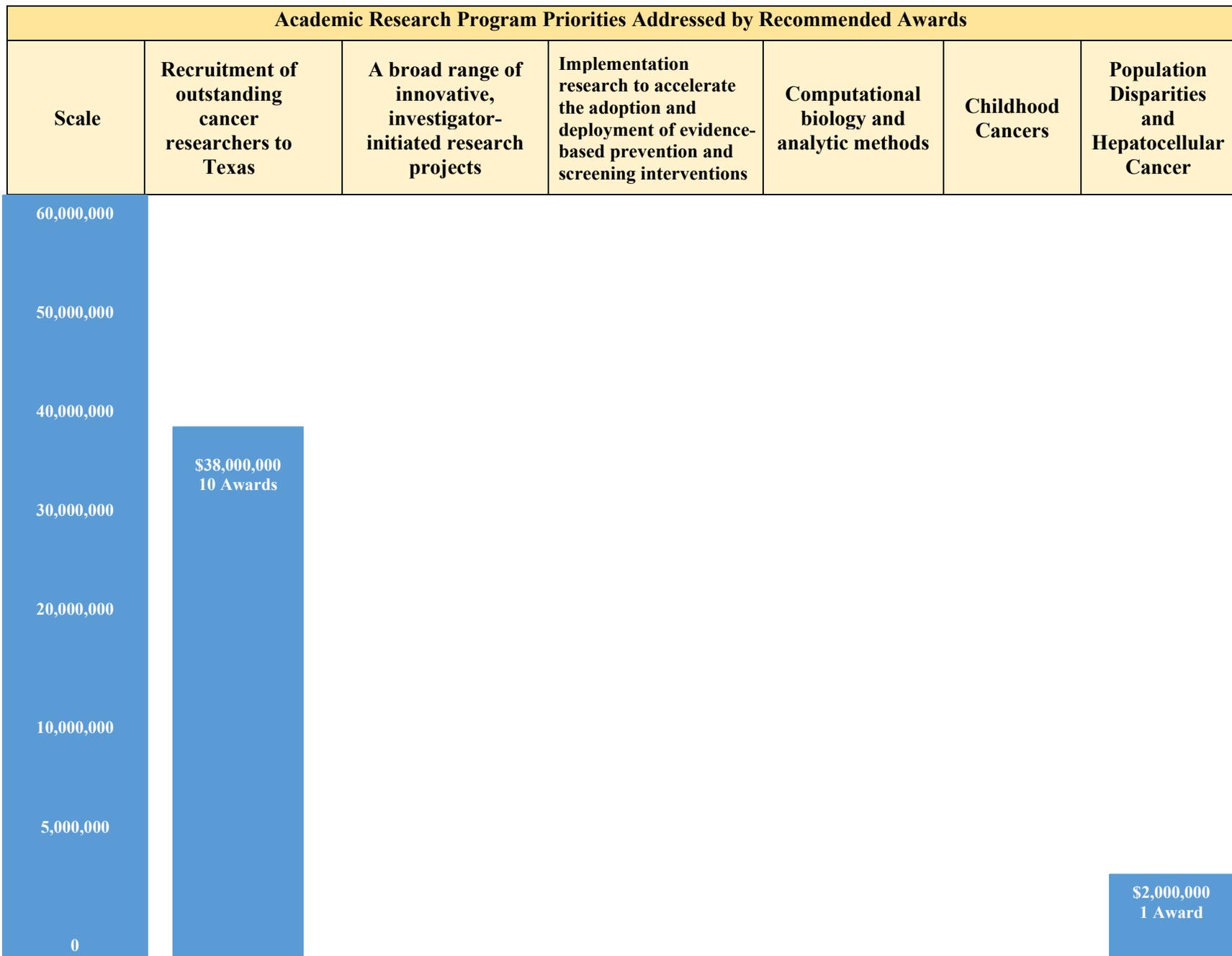
**Recommended Total Budget Award and Duration:** \$2,000,000.

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

**Description:**

Michelle Ward, Ph.D., is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit her to University of Texas Medical Branch (UTMB) from the University of Chicago. Dr. Ward received bachelors and masters training in biochemistry at the University of Cape Town, followed by a Ph.D. at Cambridge. This was followed by postdoctoral training at the University of Chicago focused on pluripotent stem cells. At UTMB she plans to study the effect of cardiotoxic drugs on cardiomyocytes, the cell type that comprises the majority of heart cells.

**Attachment #1**



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

**Attachment #2**  
RFA Descriptions



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

**Ludwig Institute for  
Cancer Research Ltd**

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

Director, San Diego  
Branch

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Distinguished Professor  
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October 17, 2019

The Honorable Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on August 15, 2019 (REC Cycle 20.1) and on October 10, 2019 (REC Cycle 20.2 and 20.3) to review the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Note that the list includes one application that was initially reviewed on July 11, 2019, but, due to insufficient funding for FY2019, was not finally recommended at that time; the SRC voted to recommend the application on October 10, 2019.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended is \$38,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR190108	Guise, Theresa	REI	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.5
2	RR200014	Steidl, Ulrich G	REI	The University of Texas Southwestern Medical Center	\$6,000,000	1.6
3	RR200005	Liu, Chang	RRS	Rice University	\$4,000,000	2.0
4	RR190084	Welin, Eric	RFTFM	The University of Texas at Dallas	\$2,000,000	2.0
5	RR200016	You, LingChong	REI	Rice University	\$6,000,000	2.0
6	RR200009	Echeverria, Gloria V	RFTFM	Baylor College of Medicine	\$2,000,000	2.2
7	RR200023	Ligorio, Matteo	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.7
8	RR200007	Drapkin, Benjamin	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.8
9	RR190063	Ajo-Franklin, Caroline M	REI	Rice University	\$6,000,000	2.8
10	RR190110	Ward, Michelle	RFTFM	The University of Texas Medical Branch at Galveston	\$2,000,000	3.0



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

November 6, 2019

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) recommendations for funding 10 grant applications totaling \$38,000,000. The PIC recommendations for 10 academic research grant awards are attached.

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

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

The award recommendations will not be considered final until the Oversight Committee meeting on November 20, 2019. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

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

Thank you for being part of this endeavor.

Sincerely,  
Wayne R. Roberts  
Chief Executive Officer

## Academic Research Award Recommendations –

The PIC unanimously recommends approval of 10 academic research grant proposals totaling \$38,000,000. The recommended grant proposals were submitted in response to three grant mechanisms: Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Rising Stars; and Recruitment of Established Investigators. The SRC provided the prioritized list of recommendations for the research awards to the presiding officers on October 18, 2019. The list includes one application from cycle 19.12 that was initially reviewed by the Scientific Review Council (SRC) in FY2019 but did not receive a final recommendation until October 10, 2019. Additionally, the applications reviewed as part of cycle 20.1 were initially reviewed on August 15, 2019, but did not receive a final recommendation from the SRC until October 10, 2019.

Dr. Willson declared a conflict of interest with RR190084 due to his son working as an employee at the University of Texas at Dallas. Since the conflict falls under Texas Administrative Code § 702.13(c)(1), Dr. Willson recused himself from voting on all applications recommended under the Recruitment of First-Time, Tenure-Track mechanism at the PIC meeting.

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 states;
  - Applicable to Recruitment of Established Investigators
- 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;
- expedite innovation and commercialization, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
  - Applicable to Recruitment of First-Time, Tenure-Track Faculty Members and Recruitment of Rising Stars
- address the goals of the Texas Cancer Plan.

**Academic Research Recruitment Grant Award Recommendations**

<b>Rank</b>	<b>Application ID</b>	<b>Candidate</b>	<b>Mechanism</b>	<b>Organization</b>	<b>Budget</b>	<b>Score</b>
1	RR190108	Guise, Theresa	REI	The University of Texas M.D. Anderson Cancer Center	\$6,000,000	1.5
2	RR200014	Steidl, Ulrich G	REI	The University of Texas Southwestern Medical Center	\$6,000,000	1.6
3	RR200005	Liu, Chang	RRS	Rice University	\$4,000,000	2.0
4	RR190084	Welin, Eric	RFTFM	The University of Texas at Dallas	\$2,000,000	2.0
5	RR200016	You, LingChong	REI	Rice University	\$6,000,000	2.0
6	RR200009	Echeverria, Gloria V	RFTFM	Baylor College of Medicine	\$2,000,000	2.2
7	RR200023	Ligorio, Matteo	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.7
8	RR200007	Drapkin, Benjamin	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.8
9	RR190063	Aja-Franklin, Caroline M	REI	Rice University	\$6,000,000	2.8
10	RR190110	Ward, Michelle	RFTFM	The University of Texas Medical Branch at Galveston	\$2,000,000	3.0

RFTFM: Recruitment of First-Time, Tenure-Track Faculty Members

REI: Recruitment of Established Investigators

RRS: Recruitment of Rising Stars



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** VINCE BURGESS, CHIEF COMPLIANCE OFFICER  
**SUBJECT:** COMPLIANCE CERTIFICATION – NOVEMBER 2019 AWARDS  
**DATE:** NOVEMBER 6, 2019

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**Summary and Recommendation:**

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

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

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

The Recruitment of Established Investigators Award mechanism consists of an award that was initially reviewed by the Scientific Review Council in fiscal year 2019 but did not receive a final recommendation to the PIC until October 2019. I certified this mechanism for the August 21, 2019, Oversight Committee meeting; therefore, I will not repeat the certification here but instead will make available copies of those previous certifications.

**Background:**

CPRIT’s Chief Compliance Officer must report to the Oversight Committee regarding compliance with the statute and the agency’s administrative rules. Among the Chief Compliance Officer’s responsibilities is the obligation “to ensure that all grant proposals comply with this chapter and rules

adopted under this chapter before the proposals are submitted to the oversight committee for approval.” Texas Health & Safety Code § 102.051(c) and (d).

CPRIT uses a compliance pedigree process to formally document compliance for the grant award process. The compliance pedigree tracks the grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by GDIT employees and CPRIT employees. CPRIT relies on GDIT to accurately record a majority of the information on the pedigree from the pre-receipt stage to final Review Council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT’s Application Receipt System (CARS), the grant application database managed by GDIT. This is done to minimize the opportunity for error caused by manual data entry.

### **No Prohibited Donations:**

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

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

### **Pre-Receipt Compliance:**

The activities listed on a compliance pedigree in the pre-receipt stage cover the period beginning with CPRIT’s approval and issuance of the Request for Applications (RFA) through the submission of grant applications. For the period covering these RFAs, CPRIT published the RFAs on the Texas.gov eGrants website. The RFA specifies a deadline and mandates that only those applications submitted electronically through CPRIT’s Application Receipt System (CARS) are eligible for consideration. CARS blocks an application from being submitted once the deadline passes. Occasionally, an applicant may have technical difficulties that prevent the applicant from completing the application submission. When this occurs, the applicant may

appeal to CPRIT (through the CPRIT Helpdesk that is managed by GDIT) to allow for a submission after the deadline. The program officer considers any requests for extension and may approve an extension for good cause. When a late filing request is approved, the applicant is notified and CARS is reopened for a brief period – usually two to three hours – the next business day.

Academic Research:

*For recruitment Cycles 20.1, 20.2 and 20.3, two applications were received for the Recruitment of Established Investigators RFA, two applications were received for the Recruitment of Rising Stars RFA, and eight applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA.*

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

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

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

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

Academic Research:

*For Cycles 20.1, 20.2 and 20.3, one recruitment application was administratively withdrawn prior to the Scientific Review Council.*

**Peer Review:**

Primary reviewers (typically three) must submit written critiques for each of their assigned applications prior to the peer review meeting. After the peer review meetings, a final score report from the review committee is delivered to the Review Council for additional review. Following the

peer review meeting, each participating peer reviewer must sign a post-review peer review statement certifying that the reviewer knew of and understood CPRIT's conflict of interest policy and followed the policy for this review process.

Academic Research:

*For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. For Cycles 20.1, 20.2 and 20.3, two conflicts of interest were declared by the SRC.*

*I reviewed and confirmed that the post review conflict of interest statements were signed by the SRC members that attended the Recruitment Review Panel meetings on August 15, 2019 and October 10, 2019.*

**Programmatic Review:**

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

Academic Research:

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

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

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

**Program Integration Committee (PIC) Review:**

Texas Health & Safety Code § 102.051(d) requires the Chief Compliance Officer to attend and observe the PIC meetings to ensure compliance with CPRIT's statute and administrative rules. CPRIT's statute requires that, at the time the PIC's final Grant Award recommendations are formally

submitted to the Oversight Committee, the Chief Executive Officer shall prepare a written affidavit for each Grant Application recommended by the PIC containing relevant information related to the Grant Application recommendations.

*I attended the November 4, 2019, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. The PIC considered 10 applications, and all 10 applications were recommended to move forward to the Oversight Committee. It should be noted that Dr. Willson declared a conflict of interest for application RR190084 due to his son working as an employee at the University of Texas at Dallas. Since the conflict falls under Texas Administrative Code 702.13(c)(1), Dr. Willson abstained from voting on all applications under the Recruitment of First Time, Tenure Track, Faculty Members mechanism; however, in his role as Chief Scientific Officer, Dr. Willson did present the awards to the PIC. Pursuant to Health & Safety Code 102.1062, a waiver addressing this conflict will be discussed at the November 20 Oversight Committee meeting. A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.*



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** VINCE BURGESS, CHIEF COMPLIANCE OFFICER  
**SUBJECT:** COMPLIANCE CERTIFICATION – AUGUST 2019 AWARDS  
**DATE:** AUGUST 9, 2019

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**Summary and Recommendation:**

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

- Recruitment of Established Investigators
- Recruitment of Rising Stars
- Recruitment of First-Time, Tenure-Track Faculty Members
- Individual Investigator Research Awards
- Individual Investigator Research Awards for Childhood and Adolescent Cancers
- Individual Investigator Research Awards for Computational Biology
- CAP: Collaborative Action Center Awards
- CAP: Investigator-Initiated Research Awards
- Core Facility Support Awards
- Early Translational Research Awards
- High-Impact/High-Risk Research Awards
- Texas Company Product Development Research Awards
- Company Relocation Product Development Research Awards
- Seed Awards for Product Development Research
- Tobacco Control and Lung Cancer Screening
- Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
- Evidence-Based Cancer Prevention Services
- Dissemination of CPRIT-Funded Cancer Control Interventions

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

Three of the above mechanisms consist of awards that were previously deferred by the PIC earlier in fiscal year 2019 but are now recommended by the PIC to the Oversight Committee. The mechanisms include 19.1 Individual Investigator Research Awards, 19.1 Individual Investigator Research Awards for Childhood and Adolescent Cancers, and 19.1 Individual Investigator Research Awards for Computational Biology. I certified these three mechanisms for the February 20, 2019, Oversight Committee meeting; therefore, I will not repeat the certification here but instead will make available copies of those previous certifications.

**Background:**

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

CPRIT uses a compliance pedigree process to formally document compliance for the grant award process. The compliance pedigree tracks the grant application as it moves through the review process and documents compliance with applicable laws and administrative rules. A compliance pedigree is created for each application; the information related to the procedural steps listed on the pedigree is entered and attested to by GDIT employees and CPRIT employees. CPRIT relies on GDIT to accurately record a majority of the information on the pedigree from the pre-receipt stage to final Review Council recommendation. To the greatest extent possible, information reported in the compliance pedigree is imported directly from data contained in CPRIT's Application Receipt System (CARS), the grant application database managed by GDIT. This is done to minimize the opportunity for error caused by manual data entry.

**No Prohibited Donations:**

Although CPRIT is statutorily authorized to accept gifts and grants pursuant to Texas Health & Safety Code § 102.054, the statute prohibits CPRIT from awarding a grant to an applicant who has made a gift or grant to CPRIT or a nonprofit organization established to provide support to CPRIT. I note that Texas Health & Safety Code § 102.251(a)(3) specifically addresses "donors

from any nonprofit organization established to provide support to the institute compiled from information made available under § 102.262(c).” To the best of my knowledge, there are no nonprofit organizations that have been established to provide support to CPRIT on or after June 14, 2013, the effective date of this statutory change. The only nonprofit organization established to provide support to the Institute was the CPRIT Foundation; however, the CPRIT Foundation ceased operations and changed its name and its purpose prior to June 14, 2013. The institute has received no donations from the CPRIT Foundation made on or after June 14, 2013.

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

### **Pre-Receipt Compliance:**

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

### Academic Research:

*For Recruitment Cycles 19.10, 19.11 and 19.12, six applications were received for the Recruitment of Established Investigators RFA, six applications were received in response to the Recruitment of Rising Stars RFA, and 28 applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA.*

*Seven academic research recruitment applications were voluntarily withdrawn by the applicant. Two applications were withdrawn before the SRC meetings and five application were withdrawn after the SRC meetings. In response to the academic, non-recruitment RFAs for Cycle 19.2, CPRIT received 161 applications. Six applications were administratively withdrawn prior to Peer Review.*

*All academic research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. One applicant requested an extension to submit an application after the deadline. The program officer determined that there was good cause for the request and the deadline was extended.*

*Product Development Research:*

*For Cycle 19.2, five applications were received for the Texas Company Product Development Awards RFA, nine applications were received for the Company Relocation Product Development Research Awards RFA, and 14 applications were received for the Seed Awards for Product Development Research RFA. One application was administratively withdrawn prior to peer review.*

*All product development research RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. Three applicants requested an extension to submit an application after the deadline. The program officer determined that there was good cause for the three requests and the deadline was extended.*

*Prevention:*

*For Cycle 19.2, eight applications were received for the Evidence-Based Cancer Prevention Services RFA, seven applications were received for the Tobacco Control and Lung Cancer Screening RFA, 13 applications were received for the Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations RFA, and two applications were received for the Dissemination of CPRIT-Funded Cancer Control Interventions RFA. One application was administratively withdrawn prior to peer review.*

*All prevention RFAs were posted on the Texas.gov eGrants website and all applications were submitted through CARS. One applicant requested an extension to submit an application after the deadline. The program officer determined that there was good cause for the request and the deadline was extended.*

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

Once applications have been submitted through CARS, GDIT staff reviews the applications for compliance with RFA directions. If an applicant does not comply with the directions, GDIT notifies the program officer and the program officer makes the final decision whether to administratively withdraw the application. Recruitment grant applications are assigned to the Scientific Review Council members for peer review. All other academic research, product development research, and prevention applications are assigned by the peer review panel chair to their respective peer review panels. Prior to distribution of the applications, reviewers are given summary information about the applicant, including the Project Director and collaborators. Reviewers must sign a conflict of interest

agreement and confirm that they do not have a conflict of interest with the application before they are provided with the full application.

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

Academic Research:

*As stated earlier, seven academic research recruitment applications were voluntarily withdrawn by the applicant. Two applications were withdrawn before the SRC meetings and five application were withdrawn after the SRC meetings, but prior to the Program Integration Committee (PIC). In addition, six academic research, non-recruitment applications were administratively withdrawn prior to peer review.*

Product Development Research:

*One application was administratively withdrawn prior to peer review.*

Prevention:

*One application was administratively withdrawn prior to peer review.*

**Peer Review:**

Primary reviewers (typically three) must submit written critiques for each of their assigned applications prior to the peer review meeting. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application.

Following the peer review meeting, each participating peer reviewer must sign a post-review peer review statement certifying that the reviewer knew of and understood CPRIT's conflict of interest policy and followed the policy for this review process. After the peer review meetings, a final score report from the review committee is delivered to the Review Council for additional review.

Academic Research:

*For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. The RFA allows for the Scientific Review Council (SRC) to seek "additional ad hoc evaluations of candidates," and in cycle 19.11, an ad hoc reviewer assisted the Scientific Review Council in reviewing applications. I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. For Cycles 19.10, 19.12 and 19.12 Part*

2, no conflicts of interest were declared. Two conflicts of interest were declared by the SRC for Cycle 19.11.

*I reviewed and confirmed that the post review conflict of interest statements were signed by the six SRC members that attended the 19.10 Recruitment Review Panel meeting on May 31, 2019, the six SRC members and one ad hoc reviewer that attended the 19.11 Recruitment Review Panel on June 24, 2019, the seven SRC members that attended the 19.12 Recruitment Review Panel on July 11, 2019, and the seven SRC members that attended the 19.12 Part 2 Recruitment Review Panel meeting on August 5, 2019.*

*Academic research applications (non-recruitment) are reviewed by peer review panels and recommended to the Scientific Review Council. As documented by GDIT, reviewers with conflicts of interest did not participate in review of those applications. I reviewed supporting documentation, such as conflict of interest statements (COIs), third-party observer reports, and sign out sheets. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.*

*I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each review panel as well as the seven SRC members that attended the Review Council meeting on July 11, 2019.*

*Product Development Research:*

*Product Development Research awards go through a peer review teleconference screening call to determine which applications will be invited to in-person review. Those applicants that attend in-person review are once again evaluated by peer reviewers. Applicants recommended after in-person review must then go through operations and management due diligence review, which is conducted by outside contractors and outside intellectual property counsel. The Product Development Review Council (PDRC) recommends awards after due diligence to the PIC. I have verified from GDIT documentation and the third-party observer reports that those reviewers with conflicts did not participate in review of applications for which they indicated a conflict of interest. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.*

*I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each panel as well as the six PDRC members and five expert reviewers that attended the Due Diligence meeting on July 8, 2019.*

*One application from the Seed Award for Product Development Research mechanism was recommended ahead of two applications with either the same or a more favorable score. Additionally, in the Product Development Review Council (PDRC) recommendation letter sent to the PIC, one application recommended by the PDRC was ranked ahead of an application with a more*

*favorable score. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.*

**Prevention:**

*For the Dissemination of CPRIT-Funded Cancer Control Interventions RFA, the applications are reviewed by the Prevention Review Council (PRC), which assigns two members of the PRC to be primary reviewers. All other Prevention applications are reviewed by peer review panels and then sent to the Prevention Review Council (PRC).*

*I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. As documented by GDIT and verified by third-party observer reports, reviewers with conflicts of interest did not participate in review of those applications. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.*

*I reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for Prevention Panel 1 on May 21-22, 2019 and the Dissemination of CPRIT-Funded Cancer Control Interventions Panel on July 8, 2019, as well as the three PRC members that attended the PRC meeting on July 8, 2019.*

**Programmatic Review:**

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

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

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

*For the Academic Research, Product Development Research and Prevention awards, I reviewed and confirmed that the Review Council recommendations corresponded to RFAs that had been released. I also confirmed that the pedigrees reflect the date of the Review Council meeting and that the applications were recommended by the Review Council.*

Academic Research:

*I note that some applications that were not recommended for grant awards have scores that are equal to or more favorable than some applications that were recommended for grant awards. Each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.*

*An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. No individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1 for example, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not be recommended. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.*

*The SRC met on July 11, 2019 to consider 33 applications recommended by the peer review panels following their meetings held on May 20 – May 24, 2019. After review and discussion of these applications, the SRC recommended all 33 applications to the Program Integration Committee (PIC) for consideration.*

Product Development Research:

*For Cycle 19.2, four applications went through due diligence. In addition, one application from Cycle 19.1 was included in the discussion. I noted in my February 2019 compliance certification that the Product Development Review Council (PDRC) took no action on this application from cycle 19.1 and was seeking additional information from this grantee before making a final award decision. At their meeting on July 8, 2019, the PDRC reviewed the additional due diligence information provided by the applicant and favorably recommended this application to the PIC.*

*In the Product Development Review Council (PDRC) recommendation letter sent to the PIC and Oversight Committee chairs on July 15, one application recommended by the PDRC was ranked ahead of an application with a more favorable score. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.*

Prevention:

*The Prevention Review Council (PRC) met on July 8, 2019 to consider 11 applications recommended by the peer review panels following their meetings held on May 20 – May 24, 2019 and the Dissemination of CPRIT-Funded Cancer Control Interventions Panel on July 8,*

2019. After review and discussion of these applications, the PRC recommended 10 applications to the Program Integration Committee (PIC) for consideration. It took no action on the remaining application.

### **Program Integration Committee (PIC) Review:**

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

*I attended the August 6 and August 8, 2019, PIC meetings as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules.*

*At the August 6 meeting, The PIC considered 73 applications that were recommended by the three review councils, including ten applications previously deferred by the PIC on February 7, 2019. The 73 applications do not include the five recruitment applications that were withdrawn by applicants after the SRC recommendation meetings but prior to the PIC. At this PIC meeting, there were insufficient funds to fund all awards recommended in the academic research program. Because the Scientific Review Council's (SRC) review recommendations exceeded available funds, the Chief Scientific Officer recommended the following changes to the 73 applications: funding only four of the six previously deferred Individual Investigator Research Awards from Cycle 19.1 and funding eight Core Facility Support Awards at 96% funding. The PIC approved both recommendations. Therefore, at the conclusion of this meeting, 71 applications total, including 8 of the 10 previously deferred awards, were recommended to move forward to the Oversight Committee, and the Core Facility Support Awards received reduced budgets.*

*The PIC convened a second meeting on August 8 when additional funds became available due to an earlier FY19 award declining its CPRIT grant. These additional funds allowed the PIC to reconsider its budget reductions and the remaining 2 deferred Individual Investigator Research Awards that the PIC was previously unable to move forward to the Oversight Committee. Therefore, at the August 8 meeting, the PIC voted to recommend two remaining applications that were previously deferred and to remove the previous 4% reduction on Core Facility Support Awards imposed by the PIC. Cumulatively, as a result of the August 6 and 8 meetings, the PIC recommended 73 total awards, including the ten research awards previously deferred in February.*

*A review of the CEO affidavits confirms that such affidavits were executed and provided for each Grant Application recommendation.*



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2019—Cycles 10-12**  
*Recruitment of Established Investigators*

Updated November 2019

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

## **REQUEST FOR APPLICATIONS**

### **RFA R-19.1-REI**

## **Recruitment of Established Investigators**

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

**Application Receipt Dates:**

June 21, 2018-June 20, 2019

**FY 2019**

Fiscal Year Award Period

September 1, 2018-August 31, 2019

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**RFA VERSION HISTORY**

Rev 6/21/18 RFA release

## **1. ABOUT CPRIT**

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

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

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

### **1.1. Academic Research Program Priorities**

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

Established Principles:

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

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

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

## **2. RATIONALE**

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

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

## **3. RECRUITMENT OBJECTIVES**

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

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

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

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

#### **4. INSTITUTIONAL COMMITMENT**

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

## 5. FUNDING INFORMATION

This award is up to 5-years and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years, except under extraordinary circumstances with strong justification for a no cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. **Funds from this award mechanism may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** No annual limit on the number of potential award recipients has been set.

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

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

## 6. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.

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

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

## **7. RESUBMISSION POLICY**

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

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

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

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

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

### 8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

### **8.2.1. Summary of Nomination (2,500 characters)**

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

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

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

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

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

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

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

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **8.2.7. Research Collaboration/Synergy Plan (2 pages)**

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

### **8.2.8. Publications**

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

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

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

### **8.2.10. Current and Pending Support**

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

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

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

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

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

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

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

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

## 9. APPLICATION REVIEW

### 9.1. Review Process

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

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

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

### 9.2. Confidentiality of Review

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

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

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

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

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

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

### **9.3. Review Criteria**

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

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

Questions to be considered by the reviewers are as follows:

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

**Scientific Merit of Proposed Research:** Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility?



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

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

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

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

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

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

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

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)

# Third Party Observer Reports

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**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**Recruitment Review Panel 19.10 (REC 19.10)**  
**Observation Report**

Report No.           2019-05-31 REC 19.10  
Program Name:      Academic Research  
Panel Name:         Recruitment Review Panel–19.10 (REC\_19.10)  
Panel Date:         05-31-2019  
Report Date:        06-03-2019

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the Recruitment Review Panel-19.10 (REC\_19.10) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on May 31, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eleven (11) applications were discussed.
- Panelists: One (1) panel chair and Five (5) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Three (3)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

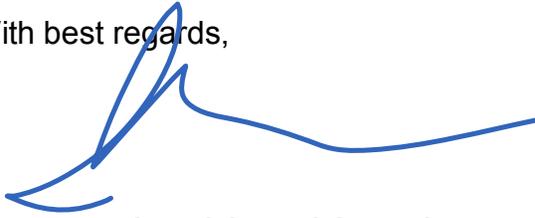
## **CONCLUSION**

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

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

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

With best regards,

A handwritten signature in blue ink, consisting of a large, stylized initial 'M' followed by a long, horizontal, slightly wavy line extending to the right.

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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**Recruitment Review Panel 19.11 (REC 19.11)**  
**Observation Report**

Report No.            2019-06-24 REC\_19.11  
Program Name:       Academic Research  
Panel Name:          Recruitment Review Panel–19.11 (REC\_19.11)  
Panel Date:          06-24-2019  
Report Date:         06-24-2019

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the Recruitment Review Panel-19.11 (REC\_19.11) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on June 24, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Ten (10) applications were discussed, two (2) applications were not discussed.
- Panelists: One (1) panel chair and six (6) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Three (3)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were two (2) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

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

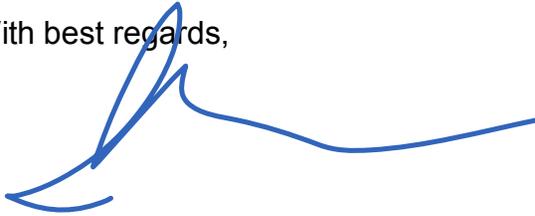
## **CONCLUSION**

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

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

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

With best regards,

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

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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**Recruitment Review Panel 19.12 (REC 19.12)**  
**Observation Report**

Report No.           2019-07-11 REC\_19.12  
Program Name:       Academic Research  
Panel Name:         Recruitment Review Panel–19.12 (REC\_19.12)  
Panel Date:         07-11-2019  
Report Date:        07-12-2019

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 19.12 (REC\_19.12) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on July 11, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observer noted the following during the meeting:

- Number (#) of applications: Eleven (11) applications were discussed
- Panelists: One (1) panel chair and six (6) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

## **CONCLUSION**

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

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

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

With best regards,

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

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

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

**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**Recruitment Review Panel 19.12 Part 2 (REC 19.12 Part 2)**  
**Observation Report**

Report No. 2019-08-05 REC\_19.12 Part 2  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 19.12 Part 2 (REC\_19.12 Part 2)  
Panel Date: 8/5/2019  
Report Date: 8/5/2019

***INTRODUCTION***

The subject of this report is the Recruitment Review Panel – 19.12 Part 2 (REC\_19.12 Part 2) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on August 5, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

CPRIT's Chief Compliance Officer attended the recruitment review panel as an observer and attests to the following:

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

***SUMMARY OF OBSERVATION RESULTS***

CPRIT's Chief Compliance Officer participated as an observer in the recruitment review panel meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

CPRIT's Chief Compliance Officer noted the following during the meeting:

- Number (#) of applications: Six (6) applications were discussed and considered
- Panelists: One (1) panel chair and six (6) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria

- GDIT staff employees: One (1)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

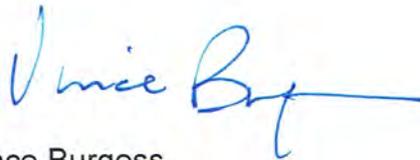
There were zero (0) COIs identified prior to and/or during the meeting. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

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

### **CONCLUSION**

In conclusion, I observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. My observation did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications.

Respectfully,



Vince Burgess  
Chief Compliance Officer  
Cancer Prevention & Research Institute of Texas



## **Cancer Prevention and Research Institute of Texas (CPRIT)**

### **Recruitment Review Panel 20.2-3 (REC 20.2-3)**

#### **Observation Report**

Report No. 2019-10-10 REC\_20.2-3  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 20.2-3 (REC\_20.2-3)  
Panel Date: 10-10-2019  
Report Date: 10-11-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 20.2-3 (REC\_20.2-3) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on October 10, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) applications were discussed
- Panelists: One (1) panel chair and Seven (7) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

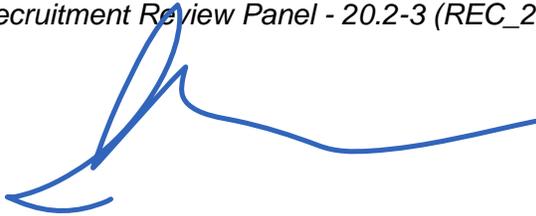
## **CONCLUSION**

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

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

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the top of the contact information.

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

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

# Conflicts of Interest Disclosure

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**Conflicts of Interest Disclosure**  
**Academic Research Recruitment Cycles 19.10-19.12 Applications**  
**(Academic Research Recruitment Cycles 19.10-19.12 Awards**  
**Announced at August 21, 2019, and November 20, 2019, Oversight Committee Meetings)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 19.10-12 include *Recruitment of Rising Stars*; *Recruitment of Established Investigators*; and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR190069	Adam Kuspa	Baylor College of Medicine	Richard O'Reilly
RR190089	Adam Kuspa	Baylor College of Medicine	Myles Brown
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

# **De-Identified Overall Evaluation Scores**

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## Recruitment of Established Investigators

Academic Research Recruitment Cycles 19.10-19.12

Application ID	Final Overall Evaluation Score
RR190070*	1.0
RR190080*	1.2
RR190079 <sup>1</sup>	2.8
RR190063** <sup>2</sup>	2.8

---

<sup>1</sup> This application was withdrawn by the applicant after the Scientific Review Council meeting but before the Program Integration Committee meeting in August 2019.

<sup>2</sup> This application was initially reviewed in FY2019 but, due to budget constraints at the end of FY2019, did not receive a final recommendation from the SRC until October 10, 2019.

\*\* Recommended for funding.

\* Approved for funding by Oversight Committee on 8/21/19.

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

---

San Diego

Ludwig Institute for  
Cancer Research Ltd

Richard D. Kolodner  
Ph.D.

Director, San Diego  
Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

rkolodner@ucsd.edu

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0669  
La Jolla, CA 92093-0669

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F 858 534 7750

July 19, 2019

Mr. Will Montgomery  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wsmcprit@gmail.com](mailto:wsmcprit@gmail.com)

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

Dear Mr. Montgomery and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on May 31, 2019 (REC Cycle 19.10) and June 24, 2019 (REC Cycle 19.11) to consider the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended for all cycles is \$39,669,997. Please note that three applications approved by the SRC (#RR190072, #RR190067 and #RR190066) were withdrawn by the applicants prior to CPRIT's Program Integration Committee meeting.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR190070	Tobias Meyer, Ph.D.	REI	The University of Texas Southwestern Medical Center	\$6,000,000	1.0
2	*RR190072	Benjamin Izar, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
3	RR190069	Stanley Lee, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	1.0
4	RR190087	Gerta Hoxhaj, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
5	RR190078	Mackenzie Wehner, M.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	1.2
6	RR190080	William Jorgensen, Ph.D.	REI	Texas Tech University	\$6,000,000	1.2
7	RR190065	Vicky Yao, Ph.D.	RFTFM	Rice University	\$1,669,997	1.4
8	RR190090	Benjamin R. Sabari, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	1.7
9	*RR190067	Eunhee Choi, Ph.D.	RFTFM	The University of Texas Health Science Center at Houston	\$2,000,000	2.0
10	RR190071	Jian Zhou, Ph.D.	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
11	RR190077	Kevin Nead, M.D.	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	2.0
12	*RR190066	Ritchie Chen, Ph.D.	RFTFM	Rice University	\$2,000,000	2.0
13	RR190089	Unmesh Jadhav, Ph.D.	RFTFM	Baylor College of Medicine	\$2,000,000	2.0
14	RR190091	Piya Ghose, Ph.D.	RFTFM	The University of Texas at Arlington	\$2,000,000	2.0
15	RR190076	Mary Teruel, Ph.D.	RRS	The University of Texas Southwestern Medical Center	\$4,000,000	2.6
16	RR190079	Christopher Flowers, MD.	REI	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	2.8

\*Note: #RR190072, #RR190067 and #RR190066 withdrew application after SRC meeting but prior to the Program Integration Committee meeting.

Ludwig Institute for  
Cancer Research Ltd

August 5, 2019

Richard D. Kolodner  
Ph.D.

Mr. Will Montgomery  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [wsmcprit@gmail.com](mailto:wsmcprit@gmail.com)

Director, San Diego  
Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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

Dear Mr. Montgomery and Mr. Roberts,

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

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

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on July 11, 2019, (REC Cycle 19.12) to review the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. The SRC did not make any final recommendations at their July 11<sup>th</sup> meeting. Notified by CPRIT of sufficient funds, the SRC met again on August 5, 2019, and recommended five First-Time, Tenure-Track Faculty Member applications. No other final action was taken on other applications that were reviewed on July 11<sup>th</sup>.

T 858 534 7804  
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The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended on August 5, 2019 is \$10,000,000.

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

Sincerely yours,



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

Attachment

<b>Rank</b>	<b>App ID</b>	<b>Candidate</b>	<b>Mechanism</b>	<b>Organization</b>	<b>Budget</b>	<b>Overall Score</b>
1	RR190096	Taylor, Alison	RFTFM	The University of Texas M. D. Anderson Cancer Center	\$2,000,000	<b>1.0</b>
2	RR190104	Li, Ang	RFTFM	Baylor College of Medicine	\$2,000,000	<b>1.3</b>
3	RR190081	Lu , Jiaozhi (George)	RFTFM	Rice University	\$2,000,000	<b>2.0</b>
4	RR190101	Weyemi, Urbain	RFTFM	The University of Texas at Austin	\$2,000,000	<b>2.0</b>
5	RR190106	Sreelatha, Anju	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	<b>2.3</b>

**Ludwig Institute for  
Cancer Research Ltd**

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

Director, San Diego  
Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor  
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**San Diego Branch**  
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October 17, 2019

The Honorable Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on August 15, 2019 (REC Cycle 20.1) and on October 10, 2019 (REC Cycle 20.2 and 20.3) to review the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Note that the list includes one application that was initially reviewed on July 11, 2019, but, due to insufficient funding for FY2019, was not finally recommended at that time; the SRC voted to recommend the application on October 10, 2019.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended is \$38,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR190108	Guise, Theresa	REI	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.5
2	RR200014	Steidl, Ulrich G	REI	The University of Texas Southwestern Medical Center	\$6,000,000	1.6
3	RR200005	Liu, Chang	RRS	Rice University	\$4,000,000	2.0
4	RR190084	Welin, Eric	RFTFM	The University of Texas at Dallas	\$2,000,000	2.0
5	RR200016	You, LingChong	REI	Rice University	\$6,000,000	2.0
6	RR200009	Echeverria, Gloria V	RFTFM	Baylor College of Medicine	\$2,000,000	2.2
7	RR200023	Ligorio, Matteo	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.7
8	RR200007	Drapkin, Benjamin	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.8
9	RR190063	Ajo-Franklin, Caroline M	REI	Rice University	\$6,000,000	2.8
10	RR190110	Ward, Michelle	RFTFM	The University of Texas Medical Branch at Galveston	\$2,000,000	3.0



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycles 20.1 through 20.3**  
*Recruitment of Established Investigators*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

## **REQUEST FOR APPLICATIONS**

### **RFA R-20.1-REI**

## **Recruitment of Established Investigators**

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

**Application Receipt Dates:**

June 21, 2019-June 20, 2020

**FY 2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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**RFA VERSION HISTORY**

Rev 6/21/19 RFA release

## **1. ABOUT CPRIT**

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

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

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

### **1.1. Academic Research Program Priorities**

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

Established Principles:

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

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

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

- Expand access to innovative clinical trials

## **2. RATIONALE**

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

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

## **3. RECRUITMENT OBJECTIVES**

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

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

Funding will be given for exceptional candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework.

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

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

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

#### **4. INSTITUTIONAL COMMITMENT**

CPRIT recruitment awards are intended to provide institutions with a competitive edge in recruiting the world's best talent in cancer research to Texas. The funds provided by CPRIT for

the recruitment of an Established Investigator should be complemented by a strong institutional commitment to the recruitment. The institutional commitment should be clearly documented in the application (see [section 8.2.2](#)) and include the amount and sources of salary support and all additional financial support that will be available to the candidate's research program through the course of the CPRIT award. The financial commitments made to the candidate by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.

## **5. FUNDING INFORMATION**

This award is up to 5 years and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6,000,000 (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years except under extraordinary circumstances with strong justification for a no-cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. Scholars may request funds for travel for 2 project staff to attend CPRIT's conference.

**Funds from this award mechanism may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.**

No annual limit on the number of grant application submissions by Institutions has been set.

Note the annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award for FY 2020 is limited to a maximum of \$200,000. In other words, an individual may request salary proportional to the percent of effort up to a maximum of \$200,000. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities.

Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

**Note:** Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2020) or in the first quarter of the next fiscal year (starting September 1, 2020).

## **6. ELIGIBILITY**

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

risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.

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

CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before

submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov).

## **7. RESUBMISSION POLICY**

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

## **8. RESPONDING TO THIS RFA**

### **8.1. Application Submission Guidelines**

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

**Dependent upon available funding, applications will be accepted on a continuous basis throughout FY20.** In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20<sup>th</sup> day of each month will be reviewed by the 15<sup>th</sup> day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20<sup>th</sup> falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During

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

## **8.2. Application Components**

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

### **8.2.1. Summary of Nomination (2,500 characters)**

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

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

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

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

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

- Institutional Commitment as described above must be presented in a table (example below), that clearly identifies the salary amount, sources of salary, and any additional research support from institutional sources over the course of the CPRIT award.
- Include a brief job description for the candidate should recruitment be successful.
- Describe the institutional environment and any professional commitments to the candidate including but not limited to dedicated personnel, access to students, space assignment, and access to shared equipment, and discuss all other agreements between the institution and the candidate.
- Institutions may provide additional information in support of a candidate’s research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate’s cancer research. This additional information is highly encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research.
- Note that Texas law allows an institution of higher learning to use its federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit cannot be used to demonstrate an institutional commitment to the candidate.

***Example of an acceptable Institutional Commitment table:***

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

Total =

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **8.2.7. Research Collaboration/Synergy Plan (2 pages)**

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

### **8.2.8. Publications**

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

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

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

### **8.2.10. Current and Pending Support**

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

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

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

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

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

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

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

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

## **9. APPLICATION REVIEW**

### **9.1. Review Process**

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

Applications recommended by the Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

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

## **9.2. Confidentiality of Review**

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

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

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT’s Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).**

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

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

## **9.3. Review Criteria**

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

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

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

Questions to be considered by the reviewers are as follows:

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

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

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

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

## 10. KEY DATES

### RFA

RFA Release

June 21, 2019

### Application Receipt and Review Timeline

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

## 11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT’s electronic signature policy as set forth in [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

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

Applicants are advised to review CPRIT’s Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements

set forth in CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. CPRIT requires funding acknowledgement on all print and visual materials, which are funded in whole or in part by CPRIT grants. Examples of print and visual materials include, but are not limited to publications, brochures, pamphlets, project websites, videos, and media materials. **Continuation of funding is contingent upon the timely receipt of these reports.** Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at [www.cprit.texas.gov](http://www.cprit.texas.gov).

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

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#), for specific requirements regarding the demonstration of available funding.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

## 13.2. Scientific and Programmatic Questions

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **REQUEST FOR APPLICATIONS**

## **RFA R-19.1-REI**

### **Recruitment of Established Investigators**

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

**Application Receipt Dates:**

June 21, 2018-June 20, 2019

**FY 2019**

Fiscal Year Award Period

September 1, 2018-August 31, 2019

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**RFA VERSION HISTORY**

Rev 6/21/18 RFA release

## **1. ABOUT CPRIT**

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

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

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

### **1.1. Academic Research Program Priorities**

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

Established Principles:

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

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

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

## **2. RATIONALE**

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

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

## **3. RECRUITMENT OBJECTIVES**

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

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

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

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

#### **4. INSTITUTIONAL COMMITMENT**

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

## 5. FUNDING INFORMATION

This award is up to 5-years and is not renewable. Grant support will be awarded based upon the breadth and nature of the research program proposed. Grant funds of up to \$6 million (total costs) for the 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years, except under extraordinary circumstances with strong justification for a no cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. **Funds from this award mechanism may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.** No annual limit on the number of potential award recipients has been set.

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

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

## 6. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and reside in Texas for the duration of the appointment. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of professor (or equivalent) at an accredited academic institution, research institution, industry, government agency, or private foundation not primarily based in Texas. The candidate must not reside in Texas at the time the application is submitted.

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

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

## **7. RESUBMISSION POLICY**

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

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

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

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

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

### 8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

### **8.2.1. Summary of Nomination (2,500 characters)**

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

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

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

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

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

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

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

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **8.2.7. Research Collaboration/Synergy Plan (2 pages)**

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

### **8.2.8. Publications**

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

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

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

### **8.2.10. Current and Pending Support**

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

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

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

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

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

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

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

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

## 9. APPLICATION REVIEW

### 9.1. Review Process

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

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

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

### 9.2. Confidentiality of Review

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

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

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

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

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

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

### **9.3. Review Criteria**

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

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

Questions to be considered by the reviewers are as follows:

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

**Scientific Merit of Proposed Research:** Is the research plan comprehensive and well thought out? Does the proposed research program demonstrate innovation, creativity, and feasibility?



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

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

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

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

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

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

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

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)

# Third Party Observer Reports

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## **Cancer Prevention and Research Institute of Texas (CPRIT)**

### **Recruitment Review Panel 20.1 (REC 20.1)**

#### **Observation Report**

Report No. 2019-08-15 REC 20.1  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 20.1 (REC\_20.1)  
Panel Date: 08-15-2019  
Report Date: 08-20-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 20.1 (REC\_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on August 15, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed
- Panelists: One (1) panel chair and four (4) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

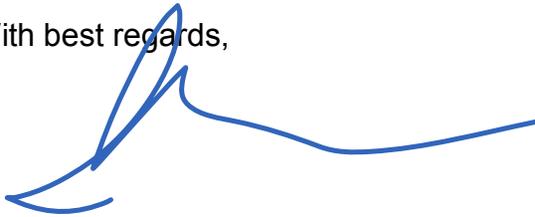
## **CONCLUSION**

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

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

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

With best regards,

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

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

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



## **Cancer Prevention and Research Institute of Texas (CPRIT)**

### **Recruitment Review Panel 20.2-3 (REC 20.2-3)**

#### **Observation Report**

Report No. 2019-10-10 REC\_20.2-3  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 20.2-3 (REC\_20.2-3)  
Panel Date: 10-10-2019  
Report Date: 10-11-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 20.2-3 (REC\_20.2-3) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on October 10, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) applications were discussed
- Panelists: One (1) panel chair and Seven (7) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

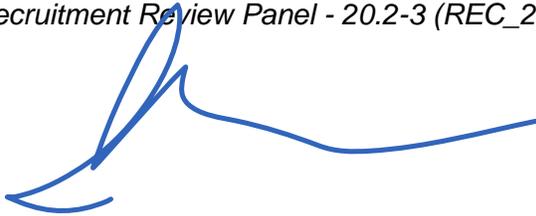
## **CONCLUSION**

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

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

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the top of the contact information.

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

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

# Conflicts of Interest Disclosure

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**Conflicts of Interest Disclosure**  
**Academic Research Recruitment Cycles 20.1-20.3 Applications**  
**(Academic Research Recruitment Cycles 20.1-20.3 Awards**  
**Announced at November 20, 2019, Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 20.1-20.3 include *Recruitment of Rising Stars*; *Recruitment of Established Investigators*; and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR190108	Gulio Draetta	The University of Texas M. D. Anderson Cancer Center	P. Jones
RR200009	Adam Kuspa	Baylor College of Medicine	T. Sellers; J. Willson
RR190084	Joseph J. Pancrazio	The University of Texas at Dallas	J. Willson
RR190110	Randall J Urban	The University of Texas Medical Branch at Galveston	J. Willson
RR200007	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	J. Willson
RR200023	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	J. Willson
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

# **De-Identified Overall Evaluation Scores**

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## Recruitment of Established Investigators

Academic Research Recruitment Cycles 20.1-20.3

Application ID	Final Overall Evaluation Score
RR190108 <sup>°*</sup>	1.5
RR200014*	1.6
RR200016*	2.0
aa <sup>°</sup>	4.0

\* = Recommended for funding.

<sup>°</sup> = Application submitted in cycle 19.12 but reviewed as part of cycle 20.1.

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

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**Ludwig Institute for  
Cancer Research Ltd**

October 17, 2019

**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  
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The Honorable Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on August 15, 2019 (REC Cycle 20.1) and on October 10, 2019 (REC Cycle 20.2 and 20.3) to review the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Note that the list includes one application that was initially reviewed on July 11, 2019, but, due to insufficient funding for FY2019, was not finally recommended at that time; the SRC voted to recommend the application on October 10, 2019.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended is \$38,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR190108	Guise, Theresa	REI	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.5
2	RR200014	Steidl, Ulrich G	REI	The University of Texas Southwestern Medical Center	\$6,000,000	1.6
3	RR200005	Liu, Chang	RRS	Rice University	\$4,000,000	2.0
4	RR190084	Welin, Eric	RFTFM	The University of Texas at Dallas	\$2,000,000	2.0
5	RR200016	You, LingChong	REI	Rice University	\$6,000,000	2.0
6	RR200009	Echeverria, Gloria V	RFTFM	Baylor College of Medicine	\$2,000,000	2.2
7	RR200023	Ligorio, Matteo	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.7
8	RR200007	Drapkin, Benjamin	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.8
9	RR190063	Ajo-Franklin, Caroline M	REI	Rice University	\$6,000,000	2.8
10	RR190110	Ward, Michelle	RFTFM	The University of Texas Medical Branch at Galveston	\$2,000,000	3.0



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycles 20.1 through 20.3**  
***Recruitment of First-Time, Tenure-Track***  
***Faculty Members***

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

## **REQUEST FOR APPLICATIONS**

### **RFA R-20.1-RFT**

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

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

**Application Receipt Dates:**

June 21, 2019-June 20, 2020

**FY2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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## **RFA VERSION HISTORY**

Rev 6/21/19 RFA release

## **1. ABOUT CPRIT**

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

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

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

### **1.1. Academic Research Program Priorities**

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

Established Principles:

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

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

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

- Expand access to innovative clinical trials

## 2. RATIONALE

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

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

## 3. RECRUITMENT OBJECTIVES

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

CPRIT will provide start-up funding for newly independent investigators, with the goal of augmenting and expanding the institution's efforts in cancer research. Candidates will be expected to develop research projects within the sponsoring institution. Projects should be appropriate for a newly independent investigator and should foster the development of preliminary data that can be used to prepare applications for future independent research project grants to further both the investigator's research career and the CPRIT mission. The institution will be expected to work with each newly recruited research faculty member to design and execute a faculty career development plan consistent with his or her research emphasis. Relevance to cancer research and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

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

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

#### **4. INSTITUTIONAL COMMITMENT**

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

## 5. FUNDING INFORMATION

This award is up to 5 years and is not renewable, although individuals may apply for other future CPRIT funding as appropriate. Grant funds of up to \$2,000,000 (total costs) for the 5-year period may be requested. Funding is to be used by the candidate to support his or her research program. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years except under extraordinary circumstances with strong justification for a no-cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. Scholars may request funds for travel for 2 project staff to attend CPRIT's conference.

**Funds from this CPRIT award may not be used for salary support of this candidate or to construct or renovate laboratory space.**

No annual limit on the number of grant application submissions by Institutions has been set.

**Note:** Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2020) or in the first quarter of the next fiscal year (starting September 1, 2020).

## 6. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.

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

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

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

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

## **7. RESUBMISSION POLICY**

Resubmissions will not be accepted for the Recruitment of First-Time, Tenure-Track Faculty Members award mechanism. Any nomination for the Recruitment of First-Time, Tenure-Track

Faculty Members that was previously submitted to CPRIT and reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

## **8. RESPONDING TO THIS RFA**

### **8.1. Application Submission Guidelines**

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

**Dependent upon available funding, applications will be accepted on a continuous basis throughout FY20.** In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20<sup>th</sup> day of each month will be reviewed by the 15<sup>th</sup> day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20<sup>th</sup> falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### **8.2. Application Components**

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

missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

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

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

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

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

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

- The institutional commitment should be clearly documented in the form of a letter signed by the applicant institution's president, provost, or appropriate dean and include the amount and sources of salary support and all additional financial support that will be available to the candidate's research program through the course of the CPRIT award. The financial commitments made to the candidate by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.
- Institutional Commitment as described above must be presented in a table (example below), that clearly identifies the salary amount, sources of salary, and any additional research support from institutional sources over the course of the CPRIT award.
- Include a brief job description for the candidate should recruitment be successful.
- Describe the institutional environment and any professional commitments to the candidate including but not limited to dedicated personnel, access to students, space assignment, and access to shared equipment, and discuss all other agreements between the institution and the candidate.

- Institutions may provide additional information in support of a candidate’s research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate’s cancer research. This additional information is highly encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research.
- Note that Texas law allows an institution of higher learning to use its federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit cannot be used to demonstrate an institutional commitment to the candidate.

***Example of an acceptable Institutional Commitment table:***

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

Total =

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **8.2.7. Research Collaboration/Synergy Plan (2 pages)**

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

### **8.2.8. Publications**

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

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

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

### **8.2.10. Current and Pending Support**

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

### **8.2.11. Letters of Recommendation**

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

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

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

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

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

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

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

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

## **9. APPLICATION REVIEW**

### **9.1. Review Process**

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

Applications recommended by the Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight

Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Texas [Administrative Code, Title 25, Chapters 701 to 703](#).

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

### **9.1.1. Confidentiality of Review**

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

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

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, Texas [Administrative Code, Title 25, Chapters 701 to 703](#).**

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

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

this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

## 9.2. Review Criteria

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

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

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

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

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

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

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

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

## 10. KEY DATES

### RFA

RFA Release

June 21, 2019

### Application Receipt and Review Timeline

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

## 11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT’s electronic signature policy as set forth in Texas [Administrative Code, Title 25, Chapters 701 to 703](#).

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

Applicants are advised to review CPRIT’s Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in Texas [Administrative Code, Title 25, Chapters 701 to 703](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, Texas [Administrtrive Code, Title 25, Chapters 701 to 703](#).

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. CPRIT requires funding acknowledgement on all print and visual materials, which are funded in whole or in part by CPRIT grants. Examples of print and visual materials include, but are not limited to publications, brochures, pamphlets, project websites, videos and media materials. **Continuation of funding is contingent upon the timely receipt of these reports.** Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract. Forms and instructions will be made available at [www.cprit.texas.gov](http://www.cprit.texas.gov).

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

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#), for specific requirements regarding the demonstration of available funding.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

## **REQUEST FOR APPLICATIONS**

### **RFA R-19.1-RFT**

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

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

**Application Receipt Dates:**

June 21, 2018-June 20, 2019

**FY 2019**

Fiscal Year Award Period

September 1, 2018-August 31, 2019

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**RFA VERSION HISTORY**

Rev 6/21/18 RFA release

## **1. ABOUT CPRIT**

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

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

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

### **1.1. Academic Research Program Priorities**

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

Established Principles:

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

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

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

## 2. RATIONALE

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

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

## 3. RECRUITMENT OBJECTIVES

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

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

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

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

#### **4. INSTITUTIONAL COMMITMENT**

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

#### **5. FUNDING INFORMATION**

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

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

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

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

## 6. ELIGIBILITY

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

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

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

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

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

## **7. RESUBMISSION POLICY**

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

## **8. RESPONDING TO THIS RFA**

### **8.1. Application Submission Guidelines**

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

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

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

## **8.2. Application Components**

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. For details, please refer to the *Instructions for Applicants* document that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

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

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

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

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

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

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

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

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

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

Note that Texas law allows an institution of higher learning to use a federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit should not be used to demonstrate an institutional commitment to the candidate.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **8.2.7. Research Collaboration/Synergy Plan (2 pages)**

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

### **8.2.8. Publications**

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

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

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

### **8.2.10. Current and Pending Support**

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

### **8.2.11. Letters of Recommendation**

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

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

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

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

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

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

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

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

## **9. APPLICATION REVIEW**

### **9.1. Review Process**

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

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

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

#### **9.1.1. Confidentiality of Review**

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

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

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

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

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

## **9.2. Review Criteria**

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

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

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

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

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

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

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

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

## 10. KEY DATES

### RFA

RFA Release

June 21, 2018

### Application Receipt and Review Timeline

<b>Application Receipt System opens 7 AM CT</b>	<b>Application Receipt</b>	<b>Anticipated Application Review</b>	<b>Application Closing Date</b>
June 21, 2018	Continuous	Monthly by the 15 <sup>th</sup> day of the month	June 20, 2019

## 11. AWARD ADMINISTRATION

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

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

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

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

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

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

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

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)

# Third Party Observer Reports

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## Cancer Prevention and Research Institute of Texas (CPRIT)

### Recruitment Review Panel 20.1 (REC 20.1)

#### Observation Report

Report No. 2019-08-15 REC 20.1  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 20.1 (REC\_20.1)  
Panel Date: 08-15-2019  
Report Date: 08-20-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 20.1 (REC\_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on August 15, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed
- Panelists: One (1) panel chair and four (4) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

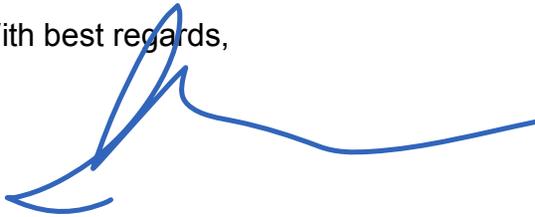
## **CONCLUSION**

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

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

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

With best regards,

A handwritten signature in blue ink, consisting of a large, stylized initial 'M' followed by a long, horizontal, slightly wavy line.

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

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



## **Cancer Prevention and Research Institute of Texas (CPRIT)**

### **Recruitment Review Panel 20.2-3 (REC 20.2-3)**

#### **Observation Report**

Report No. 2019-10-10 REC\_20.2-3  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 20.2-3 (REC\_20.2-3)  
Panel Date: 10-10-2019  
Report Date: 10-11-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 20.2-3 (REC\_20.2-3) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on October 10, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) applications were discussed
- Panelists: One (1) panel chair and Seven (7) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

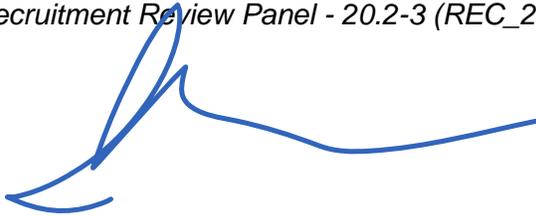
## **CONCLUSION**

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

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

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written in a cursive style.

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

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

# Conflicts of Interest Disclosure

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**Conflicts of Interest Disclosure**  
**Academic Research Recruitment Cycles 20.1-20.3 Applications**  
**(Academic Research Recruitment Cycles 20.1-20.3 Awards**  
**Announced at November 20, 2019, Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 20.1-20.3 include *Recruitment of Rising Stars*; *Recruitment of Established Investigators*; and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR190108	Gulio Draetta	The University of Texas M. D. Anderson Cancer Center	P. Jones
RR200009	Adam Kuspa	Baylor College of Medicine	T. Sellers; J. Willson
RR190084	Joseph J. Pancrazio	The University of Texas at Dallas	J. Willson
RR190110	Randall J Urban	The University of Texas Medical Branch at Galveston	J. Willson
RR200007	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	J. Willson
RR200023	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	J. Willson
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

# **De-Identified Overall Evaluation Scores**

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

Academic Research Recruitment Cycles 20.1-20.3

Application ID	Final Overall Evaluation Score
RR190084 <sup>°*</sup>	2.0
RR200009*	2.2
RR200023*	2.7
RR200007*	2.8
RR190110 <sup>°*</sup>	3.0
a	3.3
b	3.4
c	3.7
d	3.7
e	3.8

\* = Recommended for funding.

<sup>°</sup> = Application was submitted in cycle 19.12 but reviewed as part of cycle 20.1.

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

---

**Ludwig Institute for  
Cancer Research Ltd**

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

Director, San Diego  
Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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

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

T 858 534 7804  
F 858 534 7750

October 17, 2019

The Honorable Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on August 15, 2019 (REC Cycle 20.1) and on October 10, 2019 (REC Cycle 20.2 and 20.3) to review the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Note that the list includes one application that was initially reviewed on July 11, 2019, but, due to insufficient funding for FY2019, was not finally recommended at that time; the SRC voted to recommend the application on October 10, 2019.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended is \$38,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR190108	Guise, Theresa	REI	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.5
2	RR200014	Steidl, Ulrich G	REI	The University of Texas Southwestern Medical Center	\$6,000,000	1.6
3	RR200005	Liu, Chang	RRS	Rice University	\$4,000,000	2.0
4	RR190084	Welin, Eric	RFTFM	The University of Texas at Dallas	\$2,000,000	2.0
5	RR200016	You, LingChong	REI	Rice University	\$6,000,000	2.0
6	RR200009	Echeverria, Gloria V	RFTFM	Baylor College of Medicine	\$2,000,000	2.2
7	RR200023	Ligorio, Matteo	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.7
8	RR200007	Drapkin, Benjamin	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.8
9	RR190063	Ajo-Franklin, Caroline M	REI	Rice University	\$6,000,000	2.8
10	RR190110	Ward, Michelle	RFTFM	The University of Texas Medical Branch at Galveston	\$2,000,000	3.0



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycles 20.1 through 20.3**  
*Recruitment of Rising Stars*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **REQUEST FOR APPLICATIONS**

## **RFA R-20.1-RRS**

### **Recruitment of Rising Stars**

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

**Application Receipt Dates:**

June 21, 2019-June 20, 2020

**FY 2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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**RFA VERSION HISTORY**

Rev 6/21/19 RFA release

## **1. ABOUT CPRIT**

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

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

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

### **1.1. Academic Research Program Priorities**

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

Established Principles:

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

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

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

- Expand access to innovative clinical trials

## **2. RATIONALE**

The aim of this award mechanism is to bolster cancer research in Texas by providing financial support to attract individuals whose work has outstanding merit, who show a marked capacity for self-direction, and who demonstrate the promise for continued and enhanced contributions to the field of cancer research (“Rising Stars”). Awards are intended to provide institutions with a competitive edge in recruiting the world’s best talent in cancer research, thereby advancing cancer research efforts and promoting economic development in the State of Texas.

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

## **3. RECRUITMENT OBJECTIVES**

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

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

candidates who will continue to develop new research methods and techniques in the life, population-based, physical, engineering, or computational sciences and apply them to solving outstanding problems in cancer research that have been inadequately addressed or for which there may be an absence of an established paradigm or technical framework.

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

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

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

#### **4. INSTITUTIONAL COMMITMENT**

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

## 5. FUNDING INFORMATION

This is a 5-year award and is not renewable. Grant funds of up to \$4,000,000 (total costs) over a 5-year period may be requested. Exceptions to this limit will be entertained only if there is compelling written justification. Annual allocations of this award are at the discretion of the awardee as long as the total award does not exceed \$4,000,000. The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). CPRIT will make every effort to be flexible in the timing for disbursement of funds; recipients will be asked at the beginning of each year for an estimate of their needs for the year. Funds may not be carried over beyond 5 years except under extraordinary circumstances with strong justification for a no-cost extension. In addition, funds for extraordinary equipment needs may be awarded in the first year of the grant if very well justified. Scholars may request funds for travel for 2 project staff to attend CPRIT's conference.

**Funds from this award mechanism may be used for salary support of this candidate but may not be used to construct or renovate laboratory space.**

No annual limit on the number of grant application submissions by Institutions has been set.

Note the annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award for FY 2020 is limited to a maximum of \$200,000. In other words, an individual may request salary proportional to the percent of effort up to a maximum of \$200,000. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

**Note:** Depending on the availability of funds, nominations submitted in response to this Request for Applications (RFA) during the current receipt period may be announced and awarded either in the current fiscal year (prior to August 31, 2020) or in the first quarter of the next fiscal year (starting September 1, 2020).

## 6. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism.
- Candidates must be nominated by the president, provost, vice president for research, or appropriate dean of a Texas-based public or private institution of higher education, including academic health institutions. The application must be submitted on behalf of a specific candidate.
- A candidate may be nominated by only 1 institution. If more than 1 institution is interested in a given candidate, negotiations as to which institution will nominate him or her must be concluded before the nomination is made.
- There is no limit to the number of applications that an institution may submit during a review cycle.
- A candidate who has already accepted a position at the recruiting institution prior to the time that the Scientific Review Council reviews the candidate for a recruitment award is not eligible for a recruitment award, as an investment by CPRIT is obviously not necessary. No award is final until approved by the Oversight Committee at a public meeting. However, in recognition of the timeline involved with recruiting highly sought-after candidates who are often considering multiple offers, CPRIT's Academic Research program staff will notify the nominating institution of the Scientific Review Council's review decision following the Review Council meeting. If a position is offered to the candidate during the period following the Scientific Review Council's review decision but prior to the Oversight Committee's final approval, the institution does so at its own risk. There is no guarantee that the recruitment award will be approved by the Oversight Committee.
- The candidate must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, **and reside in Texas for the duration of the appointment**. The candidate must devote at least 70% time to research activities. Candidates whose major responsibilities are clinical care, teaching, or administration are not eligible.
- At the time of the application, the candidate should hold an appointment at the rank of assistant or associate professor tenure track or tenured (or equivalent) at an accredited

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

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

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

## **7. RESUBMISSION POLICY**

Resubmissions will not be accepted for the Recruitment of Rising Stars award mechanism. Any nomination for the Recruitment of Rising Stars that was previously submitted to CPRIT and

reviewed but was not recommended for funding may not be resubmitted. If a nomination was administratively rejected prior to review, it can be resubmitted in the following cycles.

## **8. RESPONDING TO THIS RFA**

### **8.1. Application Submission Guidelines**

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

**Dependent upon available funding, applications will be accepted on a continuous basis throughout FY20.** In order to manage the timely review of nominations, it is anticipated that applications submitted by 11:59 PM central time on the 20<sup>th</sup> day of each month will be reviewed by the 15<sup>th</sup> day of the following month. For an application to be considered for review during the monthly cycle, that application must be submitted on or before 11:59 PM central time. In the event that the 20<sup>th</sup> falls on Saturday or Sunday, applications may be submitted on or before 11:59 PM central time the following Monday. CPRIT will not extend the submission deadline. During periods when CPRIT does not receive an adequate number of applications, the review may be extended into the following month. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### **8.2. Application Components**

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

Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 6](#) will be administratively withdrawn without review.

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

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

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

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

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

- The institutional commitment should be clearly documented in the form of a letter signed by the applicant institution's president, provost, or appropriate dean and include the amount and sources of salary support and all additional financial support that will be available to the candidate's research program through the course of the CPRIT award. The financial commitments made to the candidate by the recruiting institution are required to be equal to or exceed 50% of the proposed CPRIT award across the course of the CPRIT award.
- Institutional Commitment as described above must be presented in a table (example below), that clearly identifies the salary amount, sources of salary, and any additional research support from institutional sources over the course of the CPRIT award.
- Include a brief job description for the candidate should recruitment be successful.
- Describe the institutional environment and any professional commitments to the candidate including but not limited to dedicated personnel, access to students, space

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

- Institutions may provide additional information in support of a candidate’s research plan to demonstrate how the institutional commitment through development of strategic collaborations will foster a candidate’s cancer research. This additional information is highly encouraged when proposing a candidate with exceptional expertise and/or talent that can be directed to cancer research such as a computational biologist, chemist, etc, whose prior experience has not been directly focused on cancer research.
- Note that Texas law allows an institution of higher learning to use its federal indirect cost rate credit to comply with the requirement to demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award (see [section 12](#)). However, a federal indirect cost rate credit cannot be used to demonstrate an institutional commitment to the candidate.

***Example of an acceptable Institutional Commitment table:***

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

Total =

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

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

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

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

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

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

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

**8.2.4. Curriculum Vitae (CV)**

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

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

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

**8.2.6. Research (4 pages)**

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

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

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

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

### **8.2.7. Research Collaboration/Synergy Plan (2 pages)**

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

### **8.2.8. Publications**

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

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

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

### **8.2.10. Current and Pending Support**

State the funding source, duration, and title of all current and pending research support held by the candidate. If the candidate has no current or pending funding, a document stating this must be submitted. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

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

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

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

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

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

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

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

## **9. APPLICATION REVIEW**

### **9.1. Review Process**

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

Applications recommended by the Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review, prioritization, and recommendation to the CPRIT Oversight Committee for approval and funding. Approval is based on an application receiving a positive vote from at least two-thirds of the members of the Oversight Committee. The review process is described more fully in CPRIT's Administrative Rules, Texas [Administrative Code, Title 25, Chapters 701 to 703.](#)

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

### 9.1.1. Confidentiality of Review

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

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

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).**

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

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

### 9.2. Review Criteria

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

an application is submitted. However, applicant institutions should have reasonable expectation that recruitment will be successful if an award is granted by CPRIT.

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

Questions to be considered by the reviewers are as follows:

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

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

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

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

## 10. KEY DATES

### RFA

RFA Release            June 21, 2019

### Application Receipt and Review Timeline

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

## 11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

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

Applicants are advised to review CPRIT's Administrative Rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. CPRIT requires funding acknowledgement on all print and visual materials that are funded in whole or in part by CPRIT grants. Examples of print and visual materials include, but are not limited to, publications, brochures, pamphlets, project websites, videos, and media materials. **Continuation of funding is contingent upon the timely receipt of these reports.** Failure to provide timely and complete reports may waive reimbursement of grant

award costs and may result in the termination of the award contract. Forms and instructions will be made available at [www.cprit.texas.gov](http://www.cprit.texas.gov).

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

Texas law requires that prior to disbursement of CPRIT grant funds, the award recipient must demonstrate that it has an amount of funds equal to one-half of the CPRIT funding dedicated to the research that is the subject of the award. The demonstration of available matching funds must be made at the time the award contract is executed and annually thereafter, not when the application is submitted. Grant applicants are advised to consult CPRIT's Administrative Rules, Texas Administrative Code, [Title 25, Chapters 701 to 703](#), for specific requirements regarding the demonstration of available funding.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)

# Third Party Observer Reports

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## Cancer Prevention and Research Institute of Texas (CPRIT)

### Recruitment Review Panel 20.1 (REC 20.1)

#### Observation Report

Report No. 2019-08-15 REC 20.1  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 20.1 (REC\_20.1)  
Panel Date: 08-15-2019  
Report Date: 08-20-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 20.1 (REC\_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on August 15, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Seven (7) applications were discussed
- Panelists: One (1) panel chair and four (4) expert reviewers.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

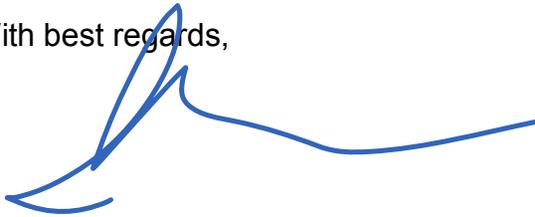
## **CONCLUSION**

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

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

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

With best regards,

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

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

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



## **Cancer Prevention and Research Institute of Texas (CPRIT)**

### **Recruitment Review Panel 20.2-3 (REC 20.2-3)**

#### **Observation Report**

Report No. 2019-10-10 REC\_20.2-3  
Program Name: Academic Research  
Panel Name: Recruitment Review Panel – 20.2-3 (REC\_20.2-3)  
Panel Date: 10-10-2019  
Report Date: 10-11-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Recruitment Review Panel - 20.2-3 (REC\_20.2-3) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on October 10, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) applications were discussed
- Panelists: One (1) panel chair and Seven (7) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

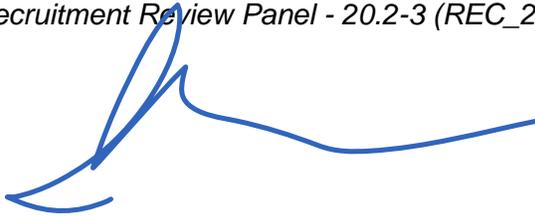
## **CONCLUSION**

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

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

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

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the top of the contact information.

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

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

# Conflicts of Interest Disclosure

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**Conflicts of Interest Disclosure**  
**Academic Research Recruitment Cycles 20.1-20.3 Applications**  
**(Academic Research Recruitment Cycles 20.1-20.3 Awards**  
**Announced at November 20, 2019, Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycle 20.1-20.3 include *Recruitment of Rising Stars*; *Recruitment of Established Investigators*; and *Recruitment of First-Time, Tenure-Track Faculty Members*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR190108	Gulio Draetta	The University of Texas M. D. Anderson Cancer Center	P. Jones
RR200009	Adam Kuspa	Baylor College of Medicine	T. Sellers; J. Willson
RR190084	Joseph J. Pancrazio	The University of Texas at Dallas	J. Willson
RR190110	Randall J Urban	The University of Texas Medical Branch at Galveston	J. Willson
RR200007	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	J. Willson
RR200023	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	J. Willson
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

# **De-Identified Overall Evaluation Scores**

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## Recruitment of Rising Stars

Academic Research Recruitment Cycles 20.1-20.3

Application ID	Final Overall Evaluation Score
RR200005*	2.0

\* = Recommended for funding.

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

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**Ludwig Institute for  
Cancer Research Ltd**

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

Director, San Diego  
Branch

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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

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

T 858 534 7804  
F 858 534 7750

October 17, 2019

The Honorable Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)

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

Dear Mr. Margo and Mr. Roberts,

The Scientific Review Council (SRC) is pleased to submit this list of recruitment grant recommendations. The SRC met on August 15, 2019 (REC Cycle 20.1) and on October 10, 2019 (REC Cycle 20.2 and 20.3) to review the applications submitted to CPRIT under the Recruitment of Established Investigators, Recruitment of Rising Stars and Recruitment of First-Time Tenure Track Faculty Members. Note that the list includes one application that was initially reviewed on July 11, 2019, but, due to insufficient funding for FY2019, was not finally recommended at that time; the SRC voted to recommend the application on October 10, 2019.

The projects on the attached list are numerically ranked in the order the SRC recommends the applications be funded. Recommended funding amounts and the overall evaluation scores are stated for each grant applications. There were no recommended changes to funding amounts, goals, timelines, or project objectives requested. The total amount for the applications recommended is \$38,000,000.

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

Sincerely yours,



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

Attachment

Rank	App ID	Candidate	Mechanism	Organization	Budget	Overall Score
1	RR190108	Guise, Theresa	REI	The University of Texas M. D. Anderson Cancer Center	\$6,000,000	1.5
2	RR200014	Steidl, Ulrich G	REI	The University of Texas Southwestern Medical Center	\$6,000,000	1.6
3	RR200005	Liu, Chang	RRS	Rice University	\$4,000,000	2.0
4	RR190084	Welin, Eric	RFTFM	The University of Texas at Dallas	\$2,000,000	2.0
5	RR200016	You, LingChong	REI	Rice University	\$6,000,000	2.0
6	RR200009	Echeverria, Gloria V	RFTFM	Baylor College of Medicine	\$2,000,000	2.2
7	RR200023	Ligorio, Matteo	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.7
8	RR200007	Drapkin, Benjamin	RFTFM	The University of Texas Southwestern Medical Center	\$2,000,000	2.8
9	RR190063	Ajo-Franklin, Caroline M	REI	Rice University	\$6,000,000	2.8
10	RR190110	Ward, Michelle	RFTFM	The University of Texas Medical Branch at Galveston	\$2,000,000	3.0



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR190063**  
**Recruitment of Established Investigators**  
**Nomination of Dr. Caroline M. Ajo-Franklin**

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 two applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycles 20.1-20.3. This application was assigned to the Scientific Review Council (SRC) for review and was initially reviewed in FY2019 but, due to budget constraints at the end of FY2019, did not receive a final recommendation from the SRC until October 10, 2019. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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 4 day of November, 2019, by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:51 AM

FY: 2019  
 CYCLE: 1  
 PROGRAM: Recruitment  
 MECHANISM: Recruitment of Established Investigators  
 APPLICATION ID: RR190063  
 APPLICATION TITLE: Recruitment of Established Investigator - Dr. Caroline M. Ajo-Franklin  
 APPLICANT NAME: Rossky, Peter J  
 ORGANIZATION: Rice University  
 PANEL NAME: Recruitment FY19 Cycle 12

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/11/2018	09/28/2018
	RFA published in Texas.gov eGrants	07/25/2018	09/28/2018
	CPRIT Application Receipt Cycle opened	05/21/2019	08/02/2019
	CPRIT Application Receipt Cycle 19.11 opened	04/23/2019	08/02/2019
	CPRIT Application Receipt Cycle closed	06/20/2019	08/02/2019
	CPRIT Application Receipt Cycle 19.11 closed	05/20/2019	08/02/2019
	Date application submitted	05/20/2019	08/02/2019
	Method of submission	CARS	08/02/2019
	Within receipt period	YES	08/02/2019
	Receipt, Referral, and Assignment	Administrative review notification	NA
Donation(s) made to CPRIT / foundation		NO	08/02/2019
Assigned to primary reviewers		07/01/2019	08/02/2019
Applicant notified of review panel assignment		NA	08/02/2019
Primary Reviewer 1 COI signed		06/27/2019	08/02/2019
Primary Reviewer 2 COI signed		06/27/2019	08/02/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	07/11/2019	08/02/2019
	Primary Reviewer 2 critique submitted	07/10/2019	08/02/2019
	COI indicated by non-primary reviewer	NONE	08/02/2019
	COI recused from participation	NA	08/02/2019
	Discussed at Peer Review Meeting	YES	08/02/2019
	Peer Review Meeting	07/11/2019	08/02/2019
	Post review statements signed	08/01/2019	08/05/2019
	Third Party Observer Report	07/12/2019	08/02/2019
	Score report delivered to CSO	07/23/2019	08/02/2019
	Recommended for SRC review	YES	08/02/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	08/02/2019
	COI recused from participation	NA	08/02/2019
	SRC Meeting	07/11/2019	08/02/2019
	Third Party Observer Report	07/12/2019	08/02/2019
	Recommended for grant award	Other: NO ACTION	10/14/2019
	SRC Chair Notification to PIC and OC	08/05/2019	10/14/2019
	COI indicated by SRC member	NONE	08/05/2019
	COI recused from participation	NA	08/05/2019
	SRC Meeting	08/05/2019	08/05/2019
	Compliance Observation Report	08/05/2019	10/14/2019
	Recommended for grant award	Other: NO ACTION	10/14/2019
	SRC Chair Notification to PIC and OC	08/05/2019	10/14/2019
	COI Indicated by SRC Member	NONE	10/14/2019
	COI recused from participation	NA	10/14/2019
	SRC Meeting	10/10/2019	10/14/2019
Third Party Observer Report	10/11/2019	10/21/2019	
Recommended for grant award	YES	10/14/2019	
SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019	
PIC Review	Candidate not accepted position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	NONE	11/04/2019
	COI recused from participation	NA	11/04/2019
	PIC Review Meeting	11/04/2019	11/04/2019
Oversight Committee Approval	Recommended for grant award	YES	11/04/2019
	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NO	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee	NA		

Comments:  
 Comment:  
 \*Tentative favorable score determined 7/11/19 in event of sufficient funding, no final decision as of 8/5/19



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR190084**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Eric Welin**

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 eight applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycle 20.1-20.3. This application was assigned to the Scientific Review Council for review. Initial review for cycle 20.1 occurred on August 15, 2019; however, the Scientific Review Council did not make a final decision on this application until October 10, 2019. 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

Dr. Willson declared a conflict of interest with RR190084 due to his son working as an employee at the University of Texas at Dallas. Since the conflict falls under Texas Administrative Code § 702.13(c)(1), Dr. Willson recused himself from voting on all applications under this mechanism at the PIC meeting.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

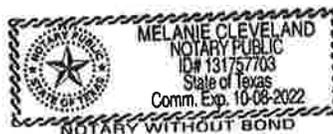
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 6 day of November, 2019,  
by WAYNE R. ROBERTS.

  
Melanie Cleveland  
Notary Public, State of Texas

# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:51 AM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR190084  
**APPLICATION TITLE:** Recruitment of First-Time, Tenure-Track Faculty Member - Dr. Eric Welin  
**APPLICANT NAME:** Pancrazio, Joseph J  
**ORGANIZATION:** The University of Texas at Dallas  
**PANEL NAME:** Recruitment FY20 Cycle 1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	RFA Approved by CSO	06/11/2018	09/28/2018
	RFA published in Texas.gov eGrants	08/06/2018	09/28/2018
	CPRIT Application Receipt Cycle opened	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle closed	07/22/2019	09/13/2019
	Date application submitted	06/20/2019	09/25/2019
	Method of submission	CARS	09/25/2019
	Within receipt period	YES	09/25/2019
<b>Receipt, Referral, and Assignment</b>	Administrative review notification	07/03/2019	09/25/2019
	Donation(s) made to CPRIT / foundation	NO	09/25/2019
	Assigned to primary reviewers	08/01/2019	09/25/2019
	Applicant notified of review panel assignment	NA	09/13/2019
	Primary Reviewer 1 COI signed	07/26/2019	09/25/2019
	Primary Reviewer 2 COI signed	07/25/2019	09/25/2019
	<b>Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	08/15/2019
Primary Reviewer 2 critique submitted		08/07/2019	09/25/2019
COI indicated by non-primary reviewer		NONE	09/25/2019
COI recused from participation		NA	09/25/2019
Discussed at Peer Review Meeting		YES	09/25/2019
Peer Review Meeting		08/15/2019	09/25/2019
Post review statements signed		08/16/2019	09/25/2019
Third Party Observer Report		08/20/2019	10/17/2019
Score report delivered to CSO		08/27/2019	09/25/2019
Recommended for SRC review		YES	09/25/2019
<b>Final SRC Recommendation</b>	COI indicated by SRC member	NONE	09/25/2019
	COI recused from participation	NA	09/25/2019
	SRC Meeting	08/15/2019	09/25/2019
	Third Party Observer Report	08/20/2019	10/17/2019
	Recommended for grant award	Other: NO ACTION	09/25/2019
	SRC Chair Notification to PIC and OC	NA	11/04/2019
	COI indicated by SRC member	NONE	10/14/2019
	COI recused from participation	NA	10/14/2019
	SRC Meeting	10/10/2019	10/14/2019
	Third Party Observer Report	10/11/2019	10/21/2019
<b>PIC Review</b>	Recommended for grant award	YES	10/14/2019
	SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	J. Willson	11/04/2019
	COI recused from participation	YES	11/04/2019
<b>Oversight Committee Approval</b>	PIC Review Meeting	11/04/2019	11/04/2019
	Recommended for grant award	YES	11/04/2019
	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
Award approved by Oversight Committee	NO		
Authority to advance funds requested	NA		
Advance authority approved by Oversight Committee	NA		
Comments:			
Comment			
No Action - Tentative favorable score determined on 8/15/2019			

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR190108**  
**Recruitment of Established Investigators**  
**Nomination of Dr. Theresa Guise**

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 two applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycle 20.1-20.3. This application was assigned to the Scientific Review Council for review and while initially received in cycle 19.12, it was moved to and reviewed in cycle 20.1-20.3. Initial review for cycle 20.1 occurred on August 15, 2019; however, the Scientific Review Council did not make a final decision on this application until October 10, 2019. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

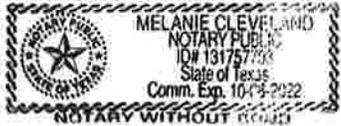
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating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

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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>6</u> day of <u>November</u> , 2019, by WAYNE R. ROBERTS.	
 _____ Melanie Cleveland Notary Public, State of Texas	

# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of Established Investigators  
**APPLICATION ID:** RR190108  
**APPLICATION TITLE:** Recruitment of Established Investigators- Theresa Guise  
**APPLICANT NAME:** Draetta, Gulio  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Recruitment FY20 Cycle 1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/11/2018	09/28/2018
	RFA published in Texas.gov eGrants	07/25/2018	09/28/2018
	CPRIT Application Receipt Cycle opened	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle closed	07/22/2019	09/13/2019
	Date application submitted	06/19/2019	09/25/2019
	Method of submission	CARS	09/25/2019
	Within receipt period	YES	09/25/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	09/25/2019
	Donation(s) made to CPRIT / foundation	NO	09/25/2019
	Assigned to primary reviewers	08/01/2019	09/25/2019
	Applicant notified of review panel assignment	NA	09/13/2019
	Primary Reviewer 1 COI signed	07/26/2019	09/25/2019
	Primary Reviewer 2 COI signed	07/30/2019	09/25/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	08/15/2019	09/25/2019
	Primary Reviewer 2 critique submitted	08/09/2019	09/25/2019
	COI indicated by non-primary reviewer	Peter Jones	09/25/2019
	COI recused from participation	Other: Reviewer not present	09/25/2019
	Discussed at Peer Review Meeting	YES	09/25/2019
	Peer Review Meeting	08/15/2019	09/25/2019
	Post review statements signed	08/16/2019	09/25/2019
	Third Party Observer Report	08/20/2019	10/17/2019
	Score report delivered to CSO	08/27/2019	09/25/2019
	Recommended for SRC review	YES	09/25/2019
Final SRC Recommendation	COI indicated by SRC member	Peter Jones	09/25/2019
	COI recused from participation	Other: Reviewer not present	09/25/2019
	SRC Meeting	08/15/2019	09/25/2019
	Third Party Observer Report	08/20/2019	10/17/2019
	Recommended for grant award	Other: NO ACTION	09/25/2019
	SRC Chair Notification to PIC and OC	NA	11/04/2019
	COI indicated by SRC member	NONE	10/14/2019
	COI recused from participation	NA	10/14/2019
	SRC Meeting	10/10/2019	10/14/2019
	Third Party Observer Report	10/11/2019	10/21/2019
	Recommended for grant award	YES	10/14/2019
	SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019
	PIC Review	Candidate not accepted position prior to SRC date	YES
COI indicated by PIC member		NONE	11/04/2019
COI recused from participation		NA	11/04/2019
PIC Review Meeting		11/04/2019	11/04/2019
Recommended for grant award		YES	11/04/2019
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NO	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee	NA		

Comments:

Comment

No Action - Tentative favorable score determined on 8/15/2019



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR190110**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Michelle Ward**

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 eight applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycle 20.1-20.3. This application was assigned to the Scientific Review Council for review. Initial review for cycle 20.1 occurred on August 15, 2019; however, the Scientific Review Council did not make a final decision on this application until October 10, 2019. 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

Dr. Willson declared a conflict of interest with RR190084 due to his son working as an employee at the University of Texas at Dallas. Since the conflict falls under Texas Administrative Code § 702.13(c)(1), Dr. Willson recused himself from voting on all applications under this mechanism at the PIC meeting.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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>6</u> day of <u>November</u> , 2019, by WAYNE R. ROBERTS.	
 Melanie Cleveland Notary Public, State of Texas	

# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

FY: 2020  
 CYCLE: 1  
 PROGRAM: Recruitment  
 MECHANISM: Recruitment of First-Time, Tenure-Track Faculty Members  
 APPLICATION ID: RR190110  
 APPLICATION TITLE: Functional genomic dissection of breast cancer drug-induced cardiotoxicity in an iPSC model  
 APPLICANT NAME: Urban, Randall J  
 ORGANIZATION: The University of Texas Medical Branch at Galveston  
 PANEL NAME: Recruitment FY20 Cycle 1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/11/2018	09/28/2018
	RFA published in Texas.gov eGrants	08/06/2018	09/28/2018
	CPRIT Application Receipt Cycle opened	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle closed	07/22/2019	09/13/2019
	Date application submitted	06/20/2019	09/25/2019
	Method of submission	CARS	09/25/2019
	Within receipt period	YES	09/25/2019
Receipt, Referral, and Assignment	Administrative review notification	07/03/2019	09/25/2019
	Donation(s) made to CPRIT / foundation	NO	09/25/2019
	Assigned to primary reviewers	08/01/2019	09/25/2019
	Applicant notified of review panel assignment	NA	09/13/2019
	Primary Reviewer 1 COI signed	07/25/2019	09/25/2019
	Primary Reviewer 2 COI signed	07/25/2019	09/25/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/2019	09/25/2019
	Primary Reviewer 2 critique submitted	08/06/2019	09/25/2019
	COI indicated by non-primary reviewer	NONE	09/25/2019
	COI recused from participation	NA	09/25/2019
	Discussed at Peer Review Meeting	YES	09/25/2019
	Peer Review Meeting	08/15/2019	09/25/2019
	Post review statements signed	08/16/2019	09/25/2019
	Third Party Observer Report	08/20/2019	10/17/2019
	Score report delivered to CSO	08/27/2019	09/25/2019
	Recommended for SRC review	YES	09/25/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	09/25/2019
	COI recused from participation	NA	09/25/2019
	SRC Meeting	08/15/2019	09/25/2019
	Third Party Observer Report	08/20/2019	10/17/2019
	Recommended for grant award	Other: NO ACTION	09/25/2019
	SRC Chair Notification to PIC and OC	NA	11/04/2019
	COI Indicated by SRC member	NONE	10/14/2019
	COI recused from participation	NA	10/14/2019
	SRC Meeting	10/10/2019	10/14/2019
	Third Party Observer Report	10/11/2019	10/21/2019
	Recommended for grant award	YES	10/14/2019
PIC Review	SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	J. Willson	11/04/2019
	COI recused from participation	YES	11/04/2019
	PIC Review Meeting	11/04/2019	11/04/2019
Oversight Committee Approval	Recommended for grant award	YES	11/04/2019
	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NO	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee	NA		
Comments:			
Comment			
No Action - Tentative favorable score determined on 8/15/2019			



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200005**  
**Recruitment of Rising Stars**  
**Nomination of Dr. Chang Liu**

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 two applications for cycles 20.1 through 20.3 in response to this RFA, including one application that was withdrawn. This application was assigned to the Scientific Review Council for review. Initial review for cycle 20.1 occurred on August 15, 2019; however, the Scientific Review Council did not make a final decision on this application until October 10, 2019. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

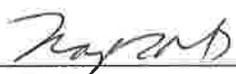
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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 6 day of November, 2019,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

FY: 2020  
 CYCLE: 1  
 PROGRAM: Recruitment  
 MECHANISM: Recruitment of Rising Stars  
 APPLICATION ID: RR200005  
 APPLICATION TITLE: Recruitment of Rising Star – Dr. Chang Liu  
 APPLICANT NAME: DesRoches, Reginald  
 ORGANIZATION: Rice University  
 PANEL NAME: Recruitment FY20 Cycle 1

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/18/2019	09/13/2019
	RFA published in Texas.gov eGrants	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle opened	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle closed	07/22/2019	09/13/2019
	Date application submitted	07/22/2019	09/13/2019
	Method of submission	CARS	09/13/2019
	Within receipt period	YES	09/13/2019
Receipt, Referral, and Assignment	Administrative review notification	NA	09/13/2019
	Donation(s) made to CPRIT / foundation	NO	09/13/2019
	Assigned to primary reviewers	08/01/2019	09/13/2019
	Applicant notified of review panel assignment	NA	09/13/2019
	Primary Reviewer 1 COI signed	07/25/2019	09/13/2019
	Primary Reviewer 2 COI signed	07/25/2019	09/13/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	08/12/2019	09/13/2019
	Primary Reviewer 2 critique submitted	08/07/2019	09/13/2019
	COI indicated by non-primary reviewer	NONE	09/13/2019
	COI recused from participation	NA	09/13/2019
	Discussed at Peer Review Meeting	YES	09/13/2019
	Peer Review Meeting	08/15/2019	09/13/2019
	Post review statements signed	08/16/2019	09/13/2019
	Third Party Observer Report	08/20/2019	10/17/2019
	Score report delivered to CSO	08/27/2019	09/13/2019
	Recommended for SRC review	YES	09/13/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	09/13/2019
	COI recused from participation	NA	09/13/2019
	SRC Meeting	08/15/2019	09/13/2019
	Third Party Observer Report	08/20/2019	10/17/2019
	Recommended for grant award	Other: NO ACTION	09/25/2019
	SRC Chair Notification to PIC and OC	NA	11/04/2019
	COI indicated by SRC member	NONE	10/14/2019
	COI recused from participation	NA	10/14/2019
	SRC Meeting	10/10/2019	10/14/2019
	Third Party Observer Report	10/11/2019	11/04/2019
PIC Review	Recommended for grant award	YES	10/14/2019
	SRC Chair Notification to PIC and PC	10/18/2019	11/04/2019
	Candidate not accepted position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	NONE	11/04/2019
	COI recused from participation	NA	11/04/2019
Oversight Committee Approval	PIC Review Meeting	11/04/2019	11/04/2019
	Recommended for grant award	YES	11/04/2019
	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
Award approved by Oversight Committee	NO		
Authority to advance funds requested	NA		
Advance authority approved by Oversight Committee	NA		
Comments:			
Comment			
No Action - Tentative favorable score determined on 8/15/2019			

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200007**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Benjamin Drapkin, M.D., Ph.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received eight applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycle 20.1-20.3. This application was assigned to the Scientific Review Council for review. Initial review for cycle 20.1 occurred on August 15, 2019; however, the Scientific Review Council did not make a final decision on this application until October 10, 2019. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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- 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

Dr. Willson declared a conflict of interest with RR190084 due to his son working as an employee at the University of Texas at Dallas. Since the conflict falls under Texas Administrative Code § 702.13(c)(1), Dr. Willson recused himself from voting on all applications under this mechanism at the PIC meeting.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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>6</u> day of <u>November</u> , 2019, by WAYNE R. ROBERTS.
 _____ Melanie Cleveland Notary Public, State of Texas


# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200007  
**APPLICATION TITLE:** Nomination of Benjamin Jacob Drapkin, M.D., Ph.D. for a CPRIT First-Time Tenure-Track Faculty Member Award  
**APPLICANT NAME:** Lee, W. P. Andrew  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** Recruitment FY20 Cycle 1

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	06/18/2019	09/13/2019	
	<b>RFA published in Texas.gov eGrants</b>	06/21/2019	09/13/2019	
	<b>CPRIT Application Receipt Cycle opened</b>	06/21/2019	09/13/2019	
	<b>CPRIT Application Receipt Cycle closed</b>	07/22/2019	09/13/2019	
	<b>Date application submitted</b>	07/18/2019	09/13/2019	
	<b>Method of submission</b>	CARS	09/13/2019	
	<b>Within receipt period</b>	YES	09/13/2019	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	NA	09/13/2019
<b>Donation(s) made to CPRIT / foundation</b>		NO	09/13/2019	
<b>Assigned to primary reviewers</b>		08/01/2019	09/13/2019	
<b>Applicant notified of review panel assignment</b>		NA	09/13/2019	
<b>Primary Reviewer 1 COI signed</b>		07/30/2019	09/13/2019	
<b>Primary Reviewer 2 COI signed</b>		07/25/2019	09/13/2019	
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	08/09/2019	09/13/2019
		<b>Primary Reviewer 2 critique submitted</b>	08/13/2019	09/13/2019
	<b>COI indicated by non-primary reviewer</b>	NONE	09/13/2019	
	<b>COI recused from participation</b>	NA	09/13/2019	
	<b>Discussed at Peer Review Meeting</b>	YES	09/13/2019	
	<b>Peer Review Meeting</b>	08/15/2019	09/13/2019	
	<b>Post review statements signed</b>	08/16/2019	09/13/2019	
	<b>Third Party Observer Report</b>	08/20/2019	10/17/2019	
	<b>Score report delivered to CSO</b>	08/27/2019	09/13/2019	
	<b>Recommended for SRC review</b>	YES	09/13/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	NONE	09/13/2019	
	<b>COI recused from participation</b>	NA	09/13/2019	
	<b>SRC Meeting</b>	08/15/2019	09/13/2019	
	<b>Third Party Observer Report</b>	08/20/2019	10/17/2019	
	<b>Recommended for grant award</b>	Other: NO ACTION	09/25/2019	
	<b>SRC Chair Notification to PIC and OC</b>	NA	11/04/2019	
	<b>COI indicated by SRC member</b>	NONE	10/14/2019	
	<b>COI recused from participation</b>	NA	10/14/2019	
	<b>SRC Meeting</b>	10/10/2019	10/14/2019	
	<b>Third Party Observer Report</b>	10/11/2019	11/04/2019	
<b>PIC Review</b>	<b>Recommended for grant award</b>	YES	10/14/2019	
	<b>SRC Chair Notification to PIC and OC</b>	10/18/2019	11/04/2019	
	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	YES	11/04/2019	
	<b>COI indicated by PIC member</b>	J. Willson	11/04/2019	
	<b>COI recused from participation</b>	YES	11/04/2019	
<b>Oversight Committee Approval</b>	<b>PIC Review Meeting</b>	11/04/2019	11/04/2019	
	<b>Recommended for grant award</b>	YES	11/04/2019	
	<b>CEO Notification to Oversight Committee</b>	NA		
	<b>COI Indicated by Oversight Committee member</b>	NA		
	<b>COI Recused from participation</b>	NA		
	<b>Donation(s) made to CPRIT / foundation</b>	NA		
	<b>Presented to CPRIT Oversight Committee</b>	NA		
<b>Award approved by Oversight Committee</b>	NO			
<b>Authority to advance funds requested</b>	NA			
<b>Advance authority approved by Oversight Committee</b>	NA			
<b>Comments:</b>				
<b>Comment</b>				
<b>No Action - Tentative favorable score determined on 8/15/2019</b>				

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200009**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Dr. Gloria V. Echeverria**

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

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

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- 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

Dr. Willson declared a conflict of interest with RR190084 due to his son working as an employee at the University of Texas at Dallas. Since the conflict falls under Texas Administrative Code § 702.13(c)(1), Dr. Willson recused himself from voting on all applications under this mechanism at the PIC meeting.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(4).

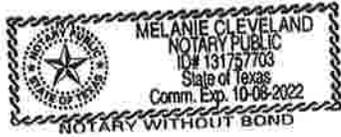
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process 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 6 day of November, 2019,  
by WAYNE R. ROBERTS.

  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200009  
**APPLICATION TITLE:** First-Time, Tenure-Track: Dr. Gloria Echeverria  
**APPLICANT NAME:** Kuspa, Adam  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Recruitment FY20 Cycle 2 and 3

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/18/2019	09/13/2019
	RFA published in Texas.gov eGrants	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle 20.2 opened	07/23/2019	10/16/2019
	CPRIT Application Receipt Cycle 20.2 closed	08/20/2019	10/16/2019
	CPRIT Application Receipt Cycle opened	08/21/2019	10/16/2019
	CPRIT Application Receipt Cycle closed	09/20/2019	10/16/2019
	Date application submitted	08/20/2019	10/17/2019
	Method of submission	CARS	10/17/2019
	Within receipt period	YES	10/17/2019
	Receipt, Referral, and Assignment	Administrative review notification	NA
Donation(s) made to CPRIT / foundation		NO	10/17/2019
Assigned to primary reviewers		09/17/2019	10/17/2019
Applicant notified of review panel assignment		NA	10/16/2019
Primary Reviewer 1 COI signed		09/09/2019	10/17/2019
Primary Reviewer 2 COI signed		08/26/2019	10/17/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	10/06/2019	10/17/2019
	Primary Reviewer 2 critique submitted	10/09/2019	10/17/2019
	COI indicated by non-primary reviewer	Thomas Sellers	10/17/2019
	COI recused from participation	YES	10/17/2019
	Discussed at Peer Review Meeting	YES	10/17/2019
	Peer Review Meeting	10/10/2019	10/17/2019
	Post review statements signed	10/18/2019	10/21/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Score report delivered to CSO	10/16/2019	10/17/2019
	Recommended for SRC review	YES	10/17/2019
Final SRC Recommendation	COI indicated by SRC member	Thomas Sellers	10/17/2019
	COI recused from participation	YES	10/17/2019
	SRC Meeting	10/10/2019	10/17/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Recommended for grant award	YES	10/17/2019
PIC Review	SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019
	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	J. Willson	11/04/2019
	COI recused from participation	YES	11/04/2019
	PIC Review Meeting	11/04/2019	11/04/2019
Oversight Committee Approval	Recommended for grant award	YES	11/04/2019
	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NO	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200014**  
**Recruitment of Established Investigators**  
**Nomination of Ulrich G. Steidl, M.D., Ph.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of Established Investigators* Request for Applications (RFA). CPRIT received two applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycle 20.1-20.3. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

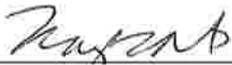
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and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

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

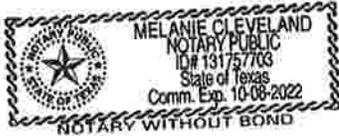
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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>6</u> day of <u>November</u> , 2019, by WAYNE R. ROBERTS.	
 Melanie Cleveland Notary Public, State of Texas	

# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of Established Investigators  
**APPLICATION ID:** RR200014  
**APPLICATION TITLE:** Nomination of Ulrich G. Steidl, M.D., Ph.D. for a CPRIT Established Investigator Award  
**APPLICANT NAME:** Lee, W. P. Andrew  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** Recruitment FY20 Cycle 2 and 3

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	RFA Approved by CSO	06/18/2019	09/13/2019
	RFA published in Texas.gov eGrants	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle 20.2 opened	07/23/2019	10/16/2019
	CPRIT Application Receipt Cycle 20.2 closed	08/20/2019	10/16/2019
	CPRIT Application Receipt Cycle opened	08/21/2019	10/16/2019
	CPRIT Application Receipt Cycle closed	09/20/2019	10/16/2019
	Date application submitted	08/20/2019	10/17/2019
	Method of submission	CARS	10/17/2019
	Within receipt period	YES	10/17/2019
<b>Receipt, Referral, and Assignment</b>	Administrative review notification	NA	10/17/2019
	Donation(s) made to CPRIT / foundation	NO	10/17/2019
	Assigned to primary reviewers	09/17/2019	10/17/2019
	Applicant notified of review panel assignment	NA	10/16/2019
	Primary Reviewer 1 COI signed	08/26/2019	10/17/2019
	Primary Reviewer 2 COI signed	08/27/2019	10/17/2019
<b>Peer Review Meeting</b>	Primary Reviewer 1 critique submitted	10/09/2019	10/17/2019
	Primary Reviewer 2 critique submitted	09/17/2019	10/17/2019
	COI indicated by non-primary reviewer	NONE	10/17/2019
	COI recused from participation	NA	10/17/2019
	Discussed at Peer Review Meeting	YES	10/17/2019
	Peer Review Meeting	10/10/2019	10/17/2019
	Post review statements signed	10/18/2019	10/21/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Score report delivered to CSO	10/16/2019	10/17/2019
Recommended for SRC review	YES	10/17/2019	
<b>Final SRC Recommendation</b>	COI indicated by SRC member	NONE	10/17/2019
	COI recused from participation	NA	10/17/2019
	SRC Meeting	10/10/2019	10/17/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Recommended for grant award	YES	10/17/2019
<b>PIC Review</b>	SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019
	Candidate not accepted position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	NONE	11/04/2019
	COI recused from participation	NA	11/04/2019
	PIC Review Meeting	11/04/2019	11/04/2019
<b>Oversight Committee Approval</b>	Recommended for grant award	YES	11/04/2019
	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NO	
Authority to advance funds requested	NA		
Advance authority approved by Oversight Committee	NA		

The identity of the attesting party is retained by CPRIT.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200016**  
**Recruitment of Established Investigators**  
**Nomination of Dr. LingChong You**

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 two applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycle 20.1-20.3. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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>6</u> day of <u>November</u> , 2019, by WAYNE R. ROBERTS.
 _____ Melanie Cleveland Notary Public, State of Texas


# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of Established Investigators  
**APPLICATION ID:** RR200016  
**APPLICATION TITLE:** Recruitment of Established investigators - Dr. LingChong You  
**APPLICANT NAME:** DesRoches, Reginald  
**ORGANIZATION:** Rice University  
**PANEL NAME:** Recruitment FY20 Cycle 2 and 3

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/18/2019	09/13/2019
	RFA published in Texas.gov eGrants	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle opened	08/21/2019	10/16/2019
	CPRIT Application Receipt Cycle closed	09/20/2019	10/16/2019
	Date application submitted	09/20/2019	10/17/2019
	Method of submission	CARS	10/17/2019
	Within receipt period	YES	10/17/2019
	Receipt, Referral, and Assignment	Administrative review notification	NA
Donation(s) made to CPRIT / foundation		NO	10/17/2019
Assigned to primary reviewers		09/24/2019	10/17/2019
Applicant notified of review panel assignment		NA	10/16/2019
Primary Reviewer 1 COI signed		08/26/2019	10/17/2019
Primary Reviewer 2 COI signed		08/26/2019	10/17/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	10/09/2019	10/17/2019
	Primary Reviewer 2 critique submitted	10/09/2019	10/17/2019
	COI indicated by non-primary reviewer	NONE	10/17/2019
	COI recused from participation	NA	10/17/2019
	Discussed at Peer Review Meeting	YES	10/17/2019
	Peer Review Meeting	10/10/2019	10/17/2019
	Post review statements signed	10/18/2019	10/21/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Score report delivered to CSO	10/16/2019	10/17/2019
	Recommended for SRC review	YES	10/17/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	10/17/2019
	COI recused from participation	NA	10/17/2019
	SRC Meeting	10/10/2019	10/17/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Recommended for grant award	YES	10/17/2019
	SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019
PIC Review	Candidate not accepted position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	NONE	11/04/2019
	COI recused from participation	NA	11/04/2019
	PIC Review Meeting	11/04/2019	11/04/2019
	Recommended for grant award	YES	11/04/2019
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NO	
	Authority to advance funds requested	NA	
	Advance authority approved by Oversight Committee	NA	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200023**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Matteo Ligorio, M.D., Ph.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

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

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

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members Request for Applications (RFA)*. CPRIT received eight applications for cycles 20.1 through 20.3 in response to this RFA. Additionally, two applications from cycle 19.12 were moved to and reviewed in cycle 20.1-20.3. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

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

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

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

Dr. Willson declared a conflict of interest with RR190084 due to his son working as an employee at the University of Texas at Dallas. Since the conflict falls under Texas Administrative Code § 702.13(c)(1), Dr. Willson recused himself from voting on all applications under this mechanism at the PIC meeting.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC member has an approved conflict of interest waiver on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3). At the time of signing this affidavit, the Oversight Committee has not yet reviewed the application; however, I note that member Will Montgomery also has a conflict of interest waiver on file for FY2020 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>6</u> day of <u>November</u> , 2019, by WAYNE R. ROBERTS.
 _____ Melanie Cleveland Notary Public, State of Texas


# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 11/05/2019 09:52 AM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200023  
**APPLICATION TITLE:** Nomination of Matteo Ligorio for a CPRIT First-Time, Tenure-Track Faculty Member Award  
**APPLICANT NAME:** Lee, W. P. Andrew  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** Recruitment FY20 Cycle 2 and 3

Category	Compliance Requirement	Information	Attestation Date
Pre-Receipt	RFA Approved by CSO	06/18/2019	09/13/2019
	RFA published in Texas.gov eGrants	06/21/2019	09/13/2019
	CPRIT Application Receipt Cycle opened	08/21/2019	10/16/2019
	CPRIT Application Receipt Cycle closed	09/20/2019	10/16/2019
	Date application submitted	09/20/2019	10/17/2019
	Method of submission	CARS	10/17/2019
	Within receipt period	YES	10/17/2019
	Receipt, Referral, and Assignment	Administrative review notification	NA
Donation(s) made to CPRIT / foundation		NO	10/17/2019
Assigned to primary reviewers		09/24/2019	10/17/2019
Applicant notified of review panel assignment		NA	10/16/2019
Primary Reviewer 1 COI signed		09/09/2019	10/17/2019
Primary Reviewer 2 COI signed		08/27/2019	10/17/2019
Peer Review Meeting	Primary Reviewer 1 critique submitted	10/08/2019	10/17/2019
	Primary Reviewer 2 critique submitted	10/07/2019	10/17/2019
	COI indicated by non-primary reviewer	NONE	10/17/2019
	COI recused from participation	NA	10/21/2019
	Discussed at Peer Review Meeting	YES	10/17/2019
	Peer Review Meeting	10/10/2019	10/17/2019
	Post review statements signed	10/18/2019	10/21/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Score report delivered to CSO	10/16/2019	10/17/2019
	Recommended for SRC review	YES	10/17/2019
Final SRC Recommendation	COI indicated by SRC member	NONE	10/17/2019
	COI recused from participation	NA	10/17/2019
	SRC Meeting	10/10/2019	10/17/2019
	Third Party Observer Report	10/11/2019	10/17/2019
	Recommended for grant award	YES	10/17/2019
	SRC Chair Notification to PIC and OC	10/18/2019	11/04/2019
PIC Review	Candidate not accepted asst. prof. tenure track position prior to SRC date	YES	11/04/2019
	COI indicated by PIC member	J. Willson	11/04/2019
	COI recused from participation	YES	11/04/2019
	PIC Review Meeting	11/04/2019	11/04/2019
	Recommended for grant award	YES	11/04/2019
Oversight Committee Approval	CEO Notification to Oversight Committee	NA	
	COI Indicated by Oversight Committee member	NA	
	COI Recused from participation	NA	
	Donation(s) made to CPRIT / foundation	NA	
	Presented to CPRIT Oversight Committee	NA	
	Award approved by Oversight Committee	NO	
	Authority to advance funds requested	NA	
Advance authority approved by Oversight Committee	NA		

The identity of the attesting party is retained by CPRIT.