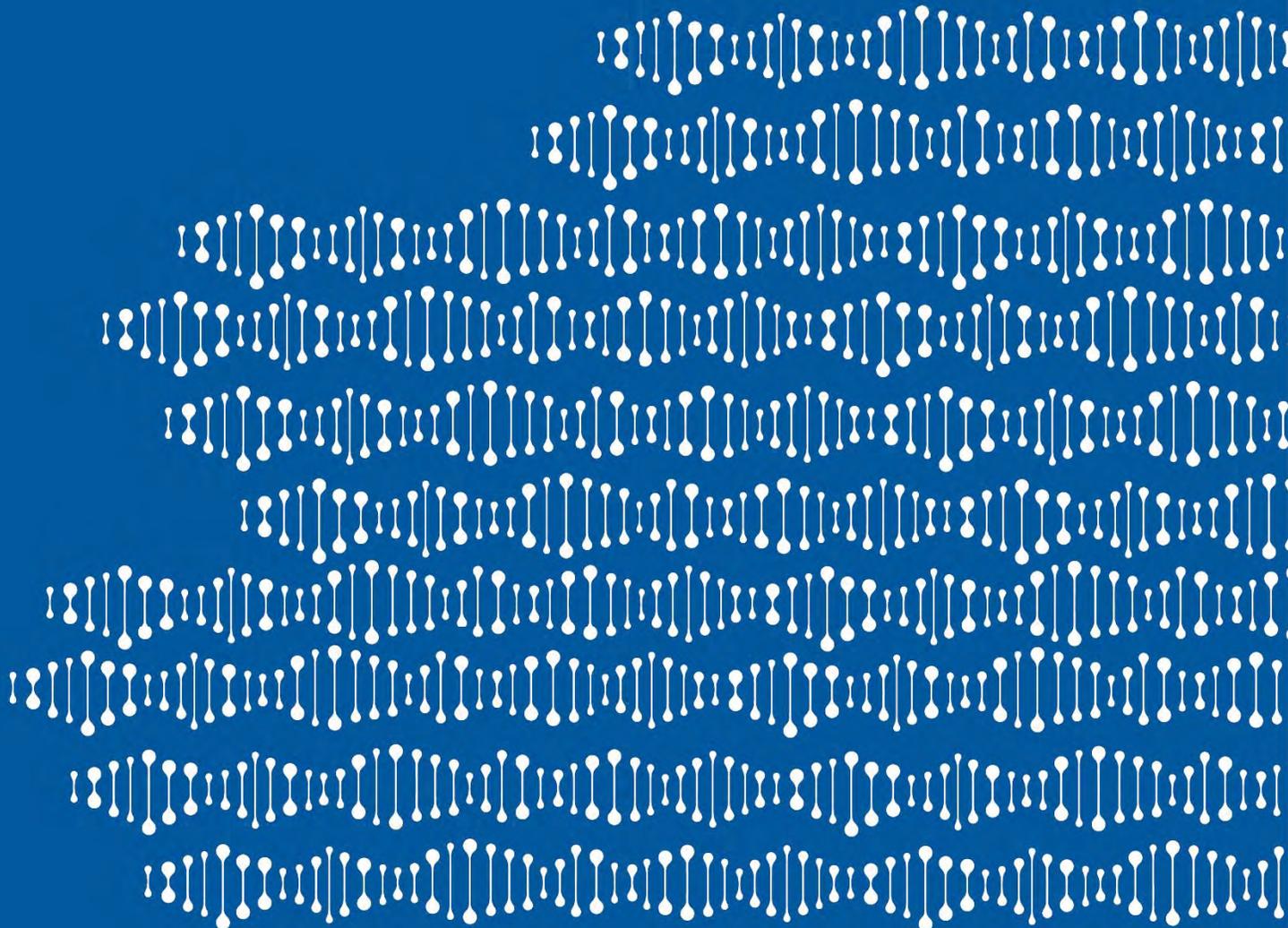




CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# Proposed Grant Awards

August 19, 2020





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**MEMORANDUM**

**TO:** CPRIT OVERSIGHT COMMITTEE MEMBERS

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

**SUBJECT:** ACADEMIC RESEARCH FY2020 REVIEW CYCLE 1 (DEFERRED RECOMMENDATIONS), CYCLE 2; AND RECRUITMENT AWARD RECOMMENDATIONS FY2020, CYCLES 20.10, 20.11, 20.12

**DATE:** AUGUST 19, 2020

The Program Integration Committee (PIC) has completed its review of the recommendation forwarded by The Scientific Review Committee (SRC) for FY2020 review cycle 20.1, cycle 20.2, and recruitment cycles 20.10, 20.11 and 20.12 include **52** awards from ten grant mechanisms totaling **\$75,298,095** as displayed in Table 1.

Thirteen recommended applications from cycle 20.1 that were deferred at the February 2020 Program Integration Committee (PIC) meeting pending sufficient funding are included in this funding slate.

**Table 1:**

Grant Mechanism	SRC Recommendations	
	Awards	Funding
Collaborative Action Plan: Research Awards	3	\$7,407,804
Core Facility Support Awards	4	\$14,821,043
Early Clinical Investigator Awards	4	\$5,991,545
High-Impact/High Risk Awards	17	\$4,245,038
Individual Investigator Research Awards	8	\$6,855,983
Individual Investigator Research Awards for Childhood and Adolescent Cancers	2	\$2,398,659
Individual Investigator Research Awards for Clinical Translation	1	\$1,199,997
Individual Investigator Research Awards for Prevention and Early Detection	2	\$2,380,366
Recruitment of Established Investigators	2	\$11,997,660
Recruitment of First-Time, Tenure Track Faculty Members	9	\$18,000,000
<b>Total</b>	<b>52</b>	<b>\$75,298,095</b>

**Program Priorities Addressed:**

The applications proposed to the PIC for funding address the following Academic Research Program Priorities: recruitment of outstanding cancer researchers to Texas, a broad range of innovative, investigator-initiated research projects, disparities, childhood cancers, hepatocellular cancer, expand access to novel clinical trials and stimulating commercialization of technologies developed at Texas institutions. The Program Priorities addressed by the proposed slate of awards are displayed in Table 2 and Attachment 1.

**Table 2**

<b>Program Priorities Addressed by Grant Recommendations</b>		
<b># Awards*</b>	<b>Program Priorities</b>	<b>Funding*</b>
11	Recruitment of outstanding cancer researchers to Texas	\$29,997,660
37	A broad range of innovative, investigator-initiated research projects	\$39,715,741
4	Investment in Core Facilities	\$14,821,043
2	Childhood Cancers	\$2,398,659
3	Population Disparities	\$7,747,804
5	Hepatocellular Cancer	\$9,807,801
4	Expand Access to Innovative Clinical Trials	\$5,991,545
2	Stimulating commercialization of technologies developed at Texas institutions	\$7,989,924
*Some grant awards address more than one program priority and are double counted.		

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

**Peer Review Recommendations:**

The Scientific Review Council recommended 36 Individual Investigator Research Awards (IIRA) from cycle 20.1. At its February meeting the PIC recommended deferring of the 8 IIRAs with overall scores of 2.8 or higher totaling \$6,855,983 to be considered at the August meeting should funds be available. Based on available funds the Academic Research Program recommends funding all 8 IIRAs.

**Purpose of Individual Investigator Research Awards:**

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

**Individual Investigator Research Awards Funding Levels:**

Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.

**Table 3: Individual Investigator Research Awards Recommended for Funding**

ID	Meeting Overall Score	Application Title	PI	Degree	PI Organization	Rec. Budget	Priority Met
RP200472	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	MD, PhD	The Methodist Hospital Research Institute	\$899,985	
RP200464	2.8	Arming an Oncolytic Herpes simplex Virus to “BiTE” Tumor Cells	Xiaoliu Zhang	MD, PhD	University of Houston	\$702,581	
RP200242	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	MD, PhD	The University of Texas Health Science Center at San Antonio	\$900,000	
RP200254	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	PhD	The University of Texas at Austin	\$754,398	
RP200327	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	PhD	The University of Texas Southwestern Medical Center	\$900,000	
RP200385	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	PhD	The University of Texas M. D. Anderson Cancer Center	\$899,020	
RP200166	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	PhD	The University of Texas M. D. Anderson Cancer Center	\$900,000	
RP200240	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	PhD	The University of Texas M. D. Anderson Cancer Center	\$899,999	Hepatocellular carcinoma. Disparities

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

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

### **Peer Review Recommendations:**

The Scientific Review Council recommended 6 Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACCA) from cycle 20.1. At its February meeting the PIC recommended funding 4 IIRACAs and deferring 2 IIRACCAs with overall scores of 2.8 and higher totaling \$2,398,659 to be considered at the August meeting should funds be available.

Based on available funds, the Academic Research Program recommends funding both IIRACCAs.

**Purpose of Individual Investigator Research Awards for Cancer in Children and Adolescents:**

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

**Individual Investigator Research Awards for Cancer in Children and Adolescents Funding Levels:**

Up to \$300,000 per year. Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs. Exceptions permitted if extremely well justified; maximum duration: 4 years.

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

ID	Meeting Overall Score	Application Title	PI	Degree	PI Organization	Rec. Budget	Priority Met
RP200058	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	PhD	The University of Texas Health Science Center at San Antonio	\$1,198,659	Childhood Cancer/ALL and AML
RP200135	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	PhD	Baylor College of Medicine	\$1,200,000	Childhood Cancer/Osteosarcoma

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

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

**Peer Review Recommendations:**

The Scientific Review Council recommended 4 Individual Investigator Research Awards for Clinical Translation from cycle 20.1. At its February meeting the PIC recommended funding 3 IIRACTs and deferring 1 IIRACT with an overall score of 2.9 to be considered at the August meeting should funds be available. Based on available funds, the Academic Research Program recommends funding the previously deferred IIRACT.

**Purpose of Individual Investigator Research Awards for Clinical Translation:**

Supports applications which propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens

from patients enrolled on a completed trial for which the outcomes are known. Areas of interest include clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices.

**Individual Investigator Research Awards for Clinical Translation Funding Levels:**

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

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

ID	Meeting Overall Score	Application Title	PI	Degree	PI Organization	Rec. Budget	Priority Met
RP200392	2.9	Harnessing Aurora Kinase Inhibition–Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	PhD	The University of Texas M. D. Anderson Cancer Center	\$1,199,997	

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

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

**Peer Review Recommendations:**

The Scientific Review Council recommended 3 Individual Investigator Research Awards for Prevention and Early Detection, totaling \$3,270,868 from cycle 20.1. At its February meeting the PIC recommended funding 1 IIRAP and deferring 2 IIRAP with overall scores of 2.8 and higher totaling \$2,380,366 to be considered at the August meeting should funds be available. Based on available funds, the Academic Research Program recommends funding the previously deferred IIRAPs.

**Purpose of Individual Investigator Research Awards for Prevention and Early Detection:**

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

**Individual Investigator Research Awards for Prevention and Early Detection Funding Levels:**

Up to of \$300,000 per year for laboratory and clinical research; Up to \$500,000 per year for population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.

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

<b>ID</b>	<b>Meeting Overall Score</b>	<b>Application Title</b>	<b>PI</b>	<b>Degree</b>	<b>PI Organization</b>	<b>Rec. Budget</b>	<b>Priority Met</b>
RP200383	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	MD	The University of Texas M. D. Anderson Cancer Center	\$896,896	
RP200025	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	MD, MPH	The University of Texas M. D. Anderson Cancer Center	\$1,483,470	

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

**5. HIGH IMPACT/HIGH RISK RESEARCH AWARDS (RFA R-20.2 HIHR) SLATE**

**Scientific Review Council Recommendations:**

Out of 104 High Impact/High Risk research award grant applications submitted, the SRC recommended 17, totaling \$4,245,038.

**Purpose of High Impact/High Risk Research Awards:**

Provides short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers.

**High Impact/High Risk Research Award Funding Levels:**

Up to \$250,000 (total costs); Maximum duration: 2 years.

**Table 7: High Impact/High Risk Research Awards Recommended for Funding**

<b>ID</b>	<b>Score</b>	<b>Application Title</b>	<b>PI</b>	<b>PI Organization</b>	<b>Budget</b>	<b>Priority Met</b>
RP200532	1.9	Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Antitumor Immunity	Lissanu Deribe, Yonathan	The University of Texas M. D. Anderson Cancer Center	\$249,992	
RP200604	2.0	Targeting Plasma Membrane Spatial Dynamics to Suppress Obesity-Induced Colon Cancer	Chapkin, Robert	Texas AgriLife Research	\$250,000	
RP200520	2.1	Developing Single-Cell RNAseq-Based Genetic Screens to Identify Novel Targets for Cancer Immunotherapy	Peng, Weiyi	University of Houston	\$250,000	
RP200573	2.2	Low-Cost Nonconventional Ultralow-Field MRI Scanner for the Next-Generation MR-Guided Radiation Therapy	Jia, Xun	The University of Texas Southwestern Medical Center	\$250,000	
RP200614	2.5	Novel Betabody-Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads	Pinney, Kevin	Baylor University	\$250,000	
RP200655	2.5	A Novel Organoid Platform to Modulate Human Neural Networks Integrated with Glioblastoma Stem Cells	Krencik, Robert	The Methodist Hospital Research Institute	\$249,372	
RP200574	2.6	Targeting B Cells to Enhance Responses to Immune Checkpoint Blockade	Wargo, Jennifer	The University of Texas M. D. Anderson Cancer Center	\$249,755	
RP200509	2.7	Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Nonalcoholic Fatty Livers	Tsai, Robert	Texas A&M University System Health Science Center	\$250,000	Hepatocellular carcinoma.
RP200595	2.7	SERBP1, Epigenetic Regulation and Glioblastoma Targeting	Penalva, Luiz	The University of Texas Health Science Center at San Antonio	\$249,968	
RP200657	2.9	Screening for Melanoma Genes Using Natural Hybrid Incompatibilities	Schartl, Manfred	Texas State University - San Marcos	\$248,458	
RP200617	2.9	Pathological Role of Neuronal Cell Cycle Reentry in the Development of Chemotherapy-Induced Peripheral Neuropathy	Lee, Hyoung-gon	The University of Texas at San Antonio	\$250,000	
RP200650	2.9	Characterization of Salmonella Tumor-Targeting Mechanisms and Oncolytic Potential	Kenney, Linda	The University of Texas Medical Branch at Galveston	\$250,000	
RP200612	3.1	Elucidating Premetastatic Niches at Single-Cell Resolution	Giancotti, Filippo	The University of Texas M. D. Anderson Cancer Center	\$249,996	
RP200620	3.2	Targeting Fatty Acid Synthesis in NAFLD-Related HCC	Dong, Bingning	Baylor College of Medicine	\$250,000	Hepatocellular carcinoma.

RP200615	3.4	Small RNA Nanovector-Based Targeted Immunotherapy for Glioblastoma	Lee, Tae Jin	The University of Texas Health Science Center at Houston	\$250,000	
RP200593	3.6	High-Throughput Nondestructive Enumeration and Characterization of CTCs in Whole Blood by a Thin Film "Tactile" Microfluidics and Holographic Interferometry	Sheng, Jian	Texas A&M University - Corpus Christi	\$247,703	
RP200526	3.7	Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma	Zhu, Jay-Jiguang	The University of Texas Health Science Center at Houston	\$249,794	

**6. COLLABORATIVE ACTION PROGRAM TO REDUCE LIVER CANCER MORTALITY IN TEXAS: INVESTIGATOR-INITIATED RESEARCH AWARDS (R-20.1 CAP:RA) SLATE**

**Scientific Review Council Recommendations:**

Out of 15 Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards (CAP: RA) grant applications submitted, the Scientific Review Council recommended three, totaling \$7,407,804.

**Purpose of Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards**

Supports investigator-initiated research projects designed to understand the reasons for the increased incidence of Hepatocellular Cancer (HCC) in Texas, to identify risk factors for cirrhosis and HCC, to identify biomarkers for HCC early detection, and to develop and implement prevention and early detection strategies.

**Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards Funding Levels:**

Up to \$500,000 in total costs per year. Maximum duration: 5 years.

Below is a listing of the recommended awards:

**RP200554**

**PI:** Amit Singal, M.D., Ph.D.

**Title:** A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality

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

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.2

**Recommended Total Budget Award and Duration:** \$2,499,995

**CPRIT Priorities Addressed:** Hepatocellular Cancer

**Description:**

The goal of this program is to improve the early detection of HCC among patients with cirrhosis, a population with a particularly high risk of HCC. A racial/ethnically and socioeconomically diverse prospective cohort of 3,000 patients with cirrhosis will be recruited from four health systems (UT Southwestern, Parkland Health and Hospital, Baylor College of Medicine, Baylor Scott & White Dallas), representing academic and community practice settings, and representing diverse Texas geography and high HCC incidence areas. While existing screening tests have some value, they also have important limitations. If successful, this proposal will lead to biomarker-based risk stratification enabling a more effective deployment of existing screening strategies.

**RP200633****PI:** Fasiha Kanwal, M.D.**Title:** Reducing Disparities in the Risk of Hepatocellular Cancer**Applicant Organization:** Baylor College of Medicine**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.8**Recommended Total Budget Award and Duration:** \$2,434,495**CPRIT Priorities Addressed:** Hepatocellular Cancer**Description:**

This project will establish a multidisciplinary, multi-institutional team representing 4 health systems, Baylor College of Medicine, Michael E DeBakey VA, UT Southwestern Medical Center, and Parkland Health System, to study the etiology of disparities related to HCC. Investigators propose to utilize electronic medical record data to establish a cohort of 6,000 patients with cirrhosis, linked to patient and provider-level data along with geospatial data. The project will provide the first comprehensive data to explain the disparities in HCC risk among Texans.

**RP200537****PI:** Aaron Thrift, Ph.D.**Title:** Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics**Applicant Organization:** Baylor College of Medicine**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.9**Recommended Total Budget Award and Duration:** \$2,473,314**CPRIT Priorities Addressed:** Hepatocellular Cancer**Description:**

This project will identify genetic and environmental risk factors that influence susceptibility of Hispanics for progression of liver disease to cirrhosis and HCC. A collaboration of 8 academic and community practices across Texas will collect data and samples from 1,500 Hispanic patients newly diagnosed with HCC in Houston, Dallas/Fort Worth and El Paso. Findings from this project promise to advance understanding of the etiology of HCC and reveal important genetic risk factors that may influence new stratification strategies for HCC in Hispanics. Also, the project will generate a unique resource for investigations of exposures, biomarkers, and

outcomes related to HCC in Hispanics in Texas which will be available to researchers through the CPRIT Liver Cancer Collaborative Action Center.

## **7. CORE FACILITY SUPPORT AWARDS (R-20.2 CFSA) SLATE**

### **Scientific Review Council Recommendations:**

Out of 17 Core Facility Support (CFSA) grant applications submitted, the SRC recommended four totaling \$14,821,043.

### **Purpose of Core Facility Support Awards:**

Solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.

### **Core Facility Support Award Funding Levels:**

**Award:** Up to \$4,000,000 (total costs); Maximum duration: 5 years.

**Recommended CFSA Institutions:** Baylor College of Medicine, Texas A&M University Health Science Center Houston Campus, The Methodist Hospital Research Institute, and Texas Tech University Health Sciences Center Amarillo Campus.

### **RP200668**

**PI:** Peter Davies, M.D., Ph.D.

**Title:** The Combinatorial Drug Discovery Program (CDDP)

**Applicant Organization:** Texas A&M University System Health Science Center

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.1

**Recommended Total Budget Award and Duration:** \$3,989,892

**CPRIT Priorities Addressed:** Stimulating commercialization of technologies developed at Texas institutions; Investment in core facilities

### **Description:**

The Combinatorial Drug Discovery Program (CDDP) core facility support award will continue CPRIT support for the operation of a highly successful and highly productive multi-institutional core facility that enables cancer-related drug discovery research at Texas A&M University System Health Science Center- Institute of Biosciences and Technology, Rice University, UT Health Science Center – Houston, M. D. Anderson Cancer Center, UT Medical Branch, University of Houston, Baylor College of Medicine and the Methodist Hospital Research Institute. It provides cancer investigators in the Texas Medical Center access to dedicated resources and the expertise required to conduct high-throughput screens, critical for the development of drug repurposing and combinatorial therapeutics. During the past award period, the CDDP has had a significant impact on cancer-related drug discovery research in the TMC

including research projects from more than 60 investigators. The CDDP contributed to the award of 17 new research grants bringing \$45M of new research funding to Texas and the initiation of 3 new clinical trials. In the next funding period, the CDDP will continue to support combinatorial drug discovery research and expand its services by adding the capability to support imaging-based high throughput metabolic screening studies.

**RP200619****PI:** John Cooke, M.D., Ph.D.**Title:** CPRIT RNA Therapeutics Core**Applicant Organization:** The Methodist Hospital Research Institute**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.8**Recommended Total Budget Award and Duration:** \$3,999,995**CPRIT Priorities Addressed:** Stimulating commercialization of technologies developed at Texas institutions; Investment in core facilities**Description:**

This is a renewal application to continue support of the RNA Therapeutics Core facility at the Methodist Hospital Research Institute. The RNA core provides unique services in development, manufacturing, quality control, as well as animal and human testing of RNA therapeutics which have emerged as an exciting new class of drugs to defeat cancer. The core has supported RNA therapeutics research by over 50 researchers from multiple Texas Medical Center researchers and has generated valuable intellectual property through licensing agreements with private concerns such as VGXI, GMP biopharmaceutical manufacturer located in The Woodlands, TX.

**RP200504****PI:** Rui Chen, Ph.D.**Title:** Comprehensive Cancer Epigenomics Core Facility**Applicant Organization:** Baylor College of Medicine**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.3**Recommended Total Budget Award and Duration:** \$3,999,943**CPRIT Priorities Addressed:** Investment in core facilities**Description:**

The Comprehensive Cancer Epigenomics Core (CCEC) facility is a new resource designed to provide cutting-edge technologies in cancer epigenomics (the study of the modifications on the genetic material of a cell, known as the epigenome) accessible to cancer researchers at Baylor College of Medicine. The growing interest and appreciation of the role of epigenomic modifications in cancer have made access to the tools to profile the epigenome essential for advances in cancer research. The CCEC will support a highly trained staff and cutting-edge instrumentation to make these technologies accessible to researchers. In addition, the core will serve as a key mechanism for educating and training faculties, fellows, and students in leading edge epigenomic technologies and their application in cancer research. Baylor College of Medicine commits \$1.3M in new matching institutional funds over the next five years to new

laboratory space, purchase of capital equipment, and subsidization of operational costs to the CCEC.

**RP200572**

**PI:** Ulrich Bickel, M.D.

**Title:** From Whole-Animal Imaging to Super resolution Microscopy: An Imaging Core for the TTUHSC Campus at Amarillo

**Applicant Organization:** Texas Tech University Health Sciences Center

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 3.6

**Recommended Total Budget Award and Duration:** \$2,831,213

**CPRIT Priorities Addressed:** Investment in core facilities

**Description:**

This Core Facility Support Award will add three state-of-the-art imaging instruments that will enable researchers at Texas Tech Health Science Center in Amarillo to image at the subcellular level (down to 20 nm resolution), observe cell growth and migration, and to perform whole animal imaging. These are imaging modalities driving advances in cancer and modern biomedical research. The facility will serve 61 active research programs at the TTHSC Schools of Pharmacy and Medicine in Amarillo and support growth of new programs on the Amarillo campus (including a new veterinarian school) with state-of-the-art cancer imaging technology.

**8. EARLY CLINICAL INVESTIGATOR AWARDS  
(R-20.2 ECI) SLATE**

**Scientific Review Council Recommendations:**

Out of eight Early Clinical Investigator (ECI) grant applications submitted, the SRC recommended four totaling \$5,991,545.

**Purpose of Early Clinical Investigator Award:**

Solicits applications from institutions to provide cancer physicians early in their academic career the opportunity to develop clinical research skills and to gain experience in advanced methods and experimental approaches needed to become clinical investigators. The award is designed to protect time from clinical responsibilities to allow the early clinical investigator to develop and conduct investigator initiated clinical trial and to establish a partnership with a laboratory-based collaborator in order to conduct correlative studies needed to interpret the outcome of an interventional trial. The overall goal of this mechanism is to increase the pool of clinical investigators at Texas academic institutions who are conducting patient-oriented studies, capitalizing on basic discoveries and translating them through conduct of innovative clinical trials involving cancer patients or individuals at risk for cancer.

**Early Clinical Investigator Award Funding Levels:**

Award: Up to \$1,500,000 (total costs); Maximum duration: 5 years

**Recommended ECI Institutions:** Baylor College of Medicine, The University of Texas Southwestern Medical Center and The University of Texas Southwestern Medical Center.

**RP200584**

**PI:** Premal Lulla, M.D.

**Title:** CPRIT Early-Career Clinical Investigator Award for Applicant: Premal Lulla, MD

**Applicant Organization:** Baylor College of Medicine

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.4

**Recommended Total Budget Award and Duration:** \$1,500,000

**CPRIT Priorities Addressed:** A broad range of innovative, investigator-initiated research projects; Expand access to innovative clinical trials

**Description:**

Dr Lulla joined the faculty of Baylor College of Medicine in 2015 as an assistant professor in the Center for Cell and Gene Therapy. His responsibilities have been primarily clinical as a member of the stem cell transplantation program, managing patients with hematologic malignancies. He has demonstrated interest in clinical research and the development of cellular therapies for hematologic malignancies. He has already become involved in clinical research as the principal investigator of a novel cell therapy for AML. The CPRIT Early Clinical Investigator award supports a well-designed career plan to develop his focus on cell therapy for AML that will have exceptional support from his mentors and institution.

**RP200549**

**PI:** David Hsieh, M.D.

**Title:** Enhancing neoantigen expression and immune checkpoint inhibitor response using splicing modulators in hepatocellular carcinoma

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

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

**Recommended Total Budget Award and Duration:** \$1,499,998

**CPRIT Priorities Addressed:** A broad range of innovative, investigator-initiated research projects, Expand access to innovative clinical trials; Hepatocellular Carcinoma

**Description:**

Dr. David Hsieh joined the Division of Hematology and Oncology at UT Southwestern as an assistant professor in 2019. Dr. Hsieh's career development plan builds on his recent work studying a novel approach to augmenting immunotherapy in hepatocellular carcinoma. He will be mentored by experienced clinical and translational investigators including Dr. David Gerber (an NCI and CPRIT funded Clinical Investigator) and Dr. Hao Zhu (a CPRIT Scholar). Dr. Hsieh's career development plan will include didactic courses on ethics, leadership, advanced data analysis, and grant writing as he transitions towards a career as an independent clinical investigator.

**RP200669****PI:** Chad Tang, M.D.**Title:** CPRIT Early Clinical Investigator Award: Chad Tang**Applicant Organization:** The University of Texas M. D. Anderson Cancer Center**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.8**Recommended Total Budget Award and Duration:** \$1,499,996**CPRIT Priorities Addressed:** A broad range of innovative, investigator-initiated research projects, Expand access to innovative clinical trials**Description:**

Dr. Chad Tang joined the Department of Radiation Oncology at M.D. Anderson following training at Stanford School of Medicine where he worked with Irving Weissman on stem cell and cancer immunology research. Dr. Tang currently leads a CPRIT supported clinical research project to investigate the radiation therapy in low volume metastatic cancer. This award will allow him to further develop his independence and emerge as a national leader.

**RP200670****PI:** Nicolas Palaskas, M.D.**Title:** Early Clinical Investigator Award- Nicolas Palaskas**Applicant Organization:** The University of Texas M. D. Anderson Cancer Center**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 2.5**Recommended Total Budget Award and Duration:** \$1,491,551**CPRIT Priorities Addressed:** A broad range of innovative, investigator-initiated research projects, Expand access to innovative clinical trials**Description:**

Dr. Palaskas is currently an assistant professor in the Department of Cardiology at M.D. Anderson. He specializes in the relatively new subspecialty of cardio-oncology which involves the management of cardiovascular disease in patients with cancer and the diagnosis and treatment of cancer or cancer therapeutic-related cardiac disease. Since joining M.D. Anderson, Dr. Palaskas is contributing to the care of patients experiencing cardiotoxicity associated with the new immune checkpoint inhibitors and is developing research opportunities on this new disease entity. The proposed career development plan will build a foundation for his development as a clinical researcher in an important area of cancer care that crosses cardiology and cancer drug development.

***9. RECRUITMENT OF ESTABLISHED INVESTIGATORS SLATE  
FY20.10, 20.11 and 20.12*****Peer Review Recommendations**

The applications were evaluated and scored by the Scientific Review Council (SRC) to determine the candidates' potential to make a significant contribution to the cancer research program of the nominating institution. Review criteria focused on the overall impression of the

candidate and his/her potential for continued superb performance as a cancer researcher, scientific merit of the proposed research program, his/her long-term contribution to and impact on the field of cancer research, and strength of the institutional commitment to the candidate.

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

The aim is to recruit outstanding senior research faculty with distinguished professional careers and established cancer research programs to academic institutions in Texas.

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

Up to \$6 million over a period of 5 years.

**Recommended Awards:**

Ten Recruitment of Established Investigators grant applications was submitted and three were recommended by the Scientific Review Council for an award. Note one application was withdrawn prior to PIC.

**RR200093**

**Candidate:** Jeffrey Pollard, Ph.D.

**Funding Mechanism:** Recruitment of Established Investigators

**Applicant Organization:** The Methodist Hospital Research Institute

**Original Organization of Nominee:** University of Edinburgh

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

**Recommended Total Budget Award and Duration:** \$5,997,660

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

**Description:**

Jeffrey Pollard, Ph.D., is recommended for an Established Investigator award to support his recruitment from the University of Edinburgh to the Houston Methodist Research Institute (HMRI) and the Houston Methodist Cancer Center. Dr. Pollard is a renowned scientist with a strong track record of high-impact research, focused on the tumor microenvironment and elucidation of the role of macrophages in tumor growth and invasion; these findings have significantly altered the understanding of the tumor microenvironment and impacted the global understanding of cancer immunology. He will lead the HMRI tumor immunology program.

**RR200112**

**Candidate:** David Gius, M.D., Ph.D.

**Funding Mechanism:** Recruitment of Established Investigators

**Applicant Organization:** The University of Texas Health Science Center at San Antonio

**Original Organization of Nominee:** Northwestern University Feinberg School of Medicine

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

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

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

**Description:**

David Gius, M.D., Ph.D. is recommended for an Established Investigator award to support his recruitment to the University of Texas Health Science Center at San Antonio from the Northwestern University Feinberg School of Medicine. He is an internationally recognized leader in radiation oncology and for investigation of the mechanistic connection between aging, cellular and/or mitochondrial metabolism, and carcinogenesis focusing on the sirtuin gene family. At UT Health San Antonio he will be appointed as Professor of Radiation Oncology, Assistant Dean of Translational Research in the Long School of Medicine, and the Associate Director of Translational Research in the Mays Cancer Center.

**10. RECRUITMENT FIRST-TIME TENURE TRACK FACULTY MEMBERS  
SLATE FY20.10, 20.11 and 20.12**

**Peer Review Recommendations**

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

**Purpose of First Time Tenure Track Faculty Recruitment**

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

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

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

**Recommended Projects:**

Nineteen Recruitment of First-Time Tenure Track Faculty Members grant applications were submitted and nine were recommended by the Scientific Review Council for an award.

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

**RR200076**

**Candidate:** Monica Pillon, Ph.D.

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

**Applicant Organization:** Baylor College of Medicine

**Original Organization of Nominee:** National Institute of Environmental Health Sciences

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

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

**CPRIT Priorities Addressed:** Recruitment of outstanding cancer researchers to Texas, Computational Biology and Analysis

**Description:**

Monica Pillon, Ph.D., is a structural biologist recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit her to the Baylor College of Medicine from the National Institute of Environmental Health Sciences. She plans a series of novel studies designed to investigate the roles of RNases in triple negative breast cancer.

**RR200079**

**Candidate:** Bruno Di Stefano, Ph.D.

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

**Applicant Organization:** Baylor College of Medicine

**Original Organization of Nominee:** Massachusetts General Hospital & Harvard Medical School

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

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

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

**Description:**

Bruno Di Stefano, Ph.D., is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to the Baylor College of Medicine from the Massachusetts General Hospital. The goal of his work is to work out how these post-transcriptional mechanisms govern self-renewal and differentiation of normal hematopoietic stem cells and AML.

**RR200080**

**Candidate:** Pengxiang Huang, Ph.D.

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

**Applicant Organization:** Baylor College of Medicine

**Original Organization of Nominee:** Harvard Medical School

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

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

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

**Description:**

Pengxiang Huang, Ph.D. is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to the Baylor College of Medicine from Harvard Medical School. At Baylor he will employ his structural biology and biochemistry expertise to interrogate key oncogenic pathways.

**RR200084**

**Candidate:** Xing Zeng, Ph.D.

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

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

**Original Organization of Nominee:** Dana Farber Cancer Institute, Harvard Medical School

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

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

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

**Description:**

Xing Zeng, Ph.D. is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to The University of Texas Southwestern Medical Center from the Dana Farber Cancer Institute. At UT Southwestern he plans to investigate the communication between neuronal cells and gliomas and brain melanoma metastases building on his expertise and recent breakthroughs in the field.

**RR200095**

**Candidate:** Jin Chen, 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:** University of California, San Francisco

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

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

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

**Description:**

Jin Chen, Ph.D., is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to UT Southwestern from University of California San Francisco. He plans to investigate mechanisms underlying the deregulation of intestinal stem cells leading to cancer.

**RR200090**

**Candidate:** Joshua Gruber, 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:** Stanford University

**Overall Evaluation Score** [Rating Scale 1.0 (highest merit) to 9.0 (lowest merit)]: 1.3

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

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

**Description:**

Joshua Gruber, 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 Stanford. He plans a research program linking metabolism and epigenetics control of cancer

**RR200063**

**Candidate:** Hongjie Li, Ph.D.

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

**Applicant Organization:** Baylor College of Medicine

**Original Organization of Nominee:** Stanford University

**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:**

Hongjie Li, Ph.D., is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to the Baylor College of Medicine from Stanford University. At Baylor he will use his expertise in aging and epithelial stem cell biology to understand how age-related changes of intestinal stem cells and their microenvironment drive colorectal cancer pathogenesis.

**RR200089**

**Candidate:** Peng Zhao, Ph.D.

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

**Applicant Organization:** The University of Texas Health Science Center at San Antonio

**Original Organization of Nominee:** University of California San Diego

**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, Hepatocellular Cancer

**Description:**

Peng Zhao, Ph.D., is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to UT Health Science Center San Antonio from the University of California San Diego. He plans to study the mechanisms linking diet and obesity to NASH and hepatocellular carcinoma.

**RR200108**

**Candidate:** Andrew Sandstrom, 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:** University of California, Berkeley

**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:**

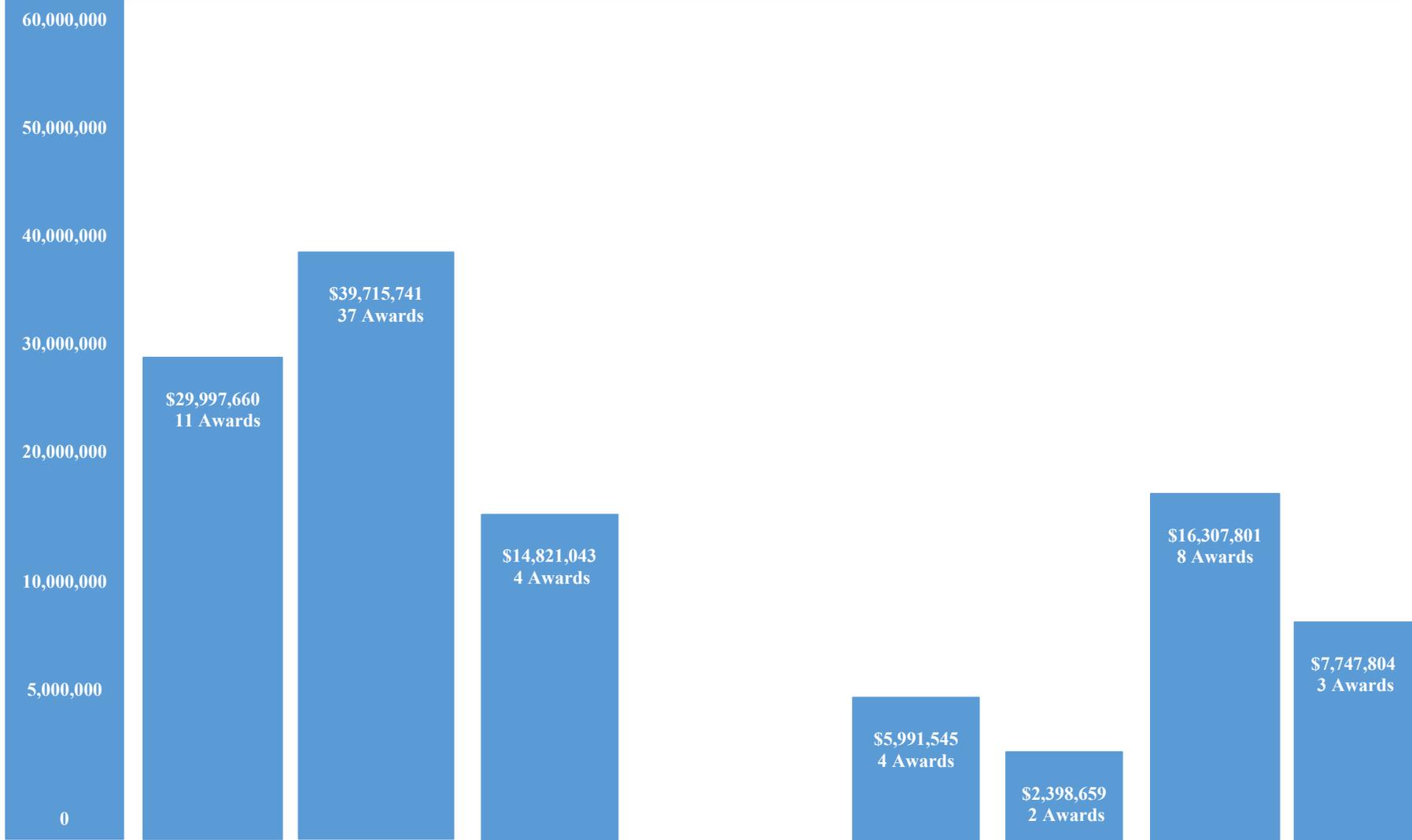
Andrew Sandstrom, Ph.D., is recommended for a CPRIT First Time Tenure Track Faculty Member Award to recruit him to UT Southwestern from the University of California, Berkeley. He plans to investigate how the activation of the innate immune system in cancer.

**Attachment #1**

**\*Academic Research Program Priorities Addressed by Recommended Awards**

(\*Some grant awards address more than one program priority and are double counted.)

Scale	Recruitment of outstanding cancer researchers to Texas	A broad range of innovative, investigator-initiated research projects	Investment in Core Facilities	Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions	Expanding Access to Innovative Clinical Trials	Childhood Cancers	Hepatocellular Cancer	Population Disparities
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**Attachment #2**  
RFA Descriptions



- **Individual Investigator Research Awards (RFA R-20.1 IIRA)**  
Supports applications for innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. Areas of interest include laboratory research, translational studies, and/or clinical investigations. Competitive renewal applications accepted.  
Award: Up to \$300,000 per year. Exceptions permitted if extremely well justified; maximum duration: 3 years.
- **Individual Investigator Research Awards for Cancer in Children and Adolescents (RFA R-20.1 IIRACCA)**  
Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, progression, detection, or treatment of cancer in children and adolescents. Laboratory, clinical, or population-based studies are all acceptable. CPRIT expects the outcome of the research to reduce the incidence, morbidity, or mortality from cancer in children and/or adolescents in the near or long term. Competitive renewal applications accepted.  
Award: Up to \$300,000 per year. Applicants that plan on conducting a clinical trial as part of the project may request up to \$500,000 in total costs. Exceptions permitted if extremely well justified; maximum duration: 4 years.
- **Individual Investigator Research Awards for Clinical Translation (RFA R-20.1 IIRACT)**  
Supports applications which propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known. Areas of interest include clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices.  
Award: Up to \$400,000 per year. Maximum duration: 3 years. Applicants that plan on conducting a clinical trial as part of the project may request up to \$600,000 in total costs and a maximum duration of 4 years. Exceptions permitted if extremely well justified.
- **Individual Investigator Research Awards for Prevention and Early Detection (RFA R-20.1 IIRAP)**  
Supports applications for innovative research projects addressing questions that will advance knowledge of the causes, prevention, early-stage progression, and/or early detection of cancer. Research may be laboratory-, clinical-, or population- based, and may include behavioral/intervention, dissemination, or health services/outcomes research to reduce cancer incidence or promote early detection. Competitive renewal applications accepted.

Award: Up to of \$300,000 per year for laboratory and clinical research; Up to \$500,000 per year for population-based research. Exceptions permitted if extremely well justified; maximum duration: 3 years.

- **Collaborative Action Program to reduce liver cancer mortality in Texas: Investigator Initiated Research Awards (RFA-R-20.2 CAP: RA)**

Supports investigator-initiated research projects designed to understand the reasons for the increased incidence of hepatocellular cancer (HCC) in Texas, to identify risk factors for cirrhosis and HCC, to identify biomarkers for HCC early detection, and to develop and implement prevention and early detection strategies.

Award: Up to \$500,000 per year (total costs); Maximum duration: 5 years.

- **Core Facility Support Awards (RFA R-20.2 CFSA)**

Solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.

Award: Up to \$4,000,000 (total costs); Maximum duration: 5 years

- **Early Clinical Investigator Award (RFA-R-20.2 ECI):**

Solicits applications from institutions to provide cancer physicians early in their academic career the opportunity to develop clinical research skills and to gain experience in advanced methods and experimental approaches needed to become clinical investigators; to provide an opportunity to establish a partnership with a laboratory-based collaborator in order to design and conduct correlative studies needed to interpret the outcome of an interventional trial; to provide the protected time from clinical responsibilities required to develop and conduct investigator initiated clinical trials; and to increase the pool of clinical investigators at Texas academic institutions who are conducting patient-oriented studies, capitalizing on basic discoveries and translating them through conduct of innovative clinical trials involving cancer patients or individuals at risk for cancer.

Award: Up to \$1,500,000 (total costs) Maximum duration: 5 years

- **High Impact/High Risk Research Awards (RFA R-20.2 HIHR)**

Provides short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers.

Award: Up to \$250,000 (total costs); Maximum duration: 2 years.

- **Recruitment of Established Investigators (RFA R-20-1 REI):**

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

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

- **Recruitment of Rising Stars (RFA R-20-1 RRS):**  
Recruits outstanding early-stage investigators to Texas, who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.  
Award: Up to \$4 million over a period of five years.
- **Recruitment of First-Time Tenure Track Faculty Members (RFA R-20-1. RFT):**  
Supports very promising emerging investigators, pursuing their first faculty appointment in Texas, who have the ability to make outstanding contributions to the field of cancer research.  
Award: Up to \$2 million over a period up to five years.

**Ludwig Institute for  
Cancer Research Ltd**

**Richard D. Kolodner  
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Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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July 16, 2020

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 research grant recommendations for Collaborative Action Plan: Research Awards (CAP:RA), Core Facility Support Awards (CFSA), Early Clinical Investigator Awards (ECI), High-Impact/High Risk Awards (HIHR).

The SRC met on July 9, 2020 to consider the applications recommended by the peer review panels following their meetings that were held April 17, 2020 – April 23, 2020.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$32,465,430.

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

Sincerely yours,



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

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200668	CFSA	1.1	The Combinatorial Drug Discovery Program (CDDP)	Davies, Peter	Texas A&M University System Health Science Center	\$3,989,892
2	RP200554	CAP-RA	1.2	A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality	Singal, Amit	The University of Texas Southwestern Medical Center	\$2,499,995
3	RP200584	ECI	1.4	CPRIT Early-Career Clinical Investigator Award for Applicant: Premal Lulla, MD	Dickinson, Mary	Baylor College of Medicine	\$1,500,000
4	RP200619	CFSA	1.8	CPRIT RNA Therapeutics Core	Cooke, John	The Methodist Hospital Research Institute	\$3,999,995
5	RP200549	ECI	1.8	Enhancing Neoantigen Expression and Immune Checkpoint Inhibitor Response Using Splicing Modulators in Hepatocellular Carcinoma	Arteaga, Carlos	The University of Texas Southwestern Medical Center	\$1,499,998
6	RP200669	ECI	1.8	CPRIT Early Clinical Investigator Award: Chad Tang	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,499,996
7	RP200532	HIHRRRA	1.9	Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Antitumor Immunity	Lissanu Deribe, Yonathan	The University of Texas M. D. Anderson Cancer Center	\$249,992

8	RP200604	HIHRRRA	2.0	Targeting Plasma Membrane Spatial Dynamics to Suppress Obesity-Induced Colon Cancer	Chapkin, Robert	Texas AgriLife Research	\$250,000
9	RP200520	HIHRRRA	2.1	Developing Single-Cell RNAseq-Based Genetic Screens to Identify Novel Targets for Cancer Immunotherapy	Peng, Weiyi	University of Houston	\$250,000
10	RP200573	HIHRRRA	2.2	Low-Cost Nonconventional Ultralow-Field MRI Scanner for the Next-Generation MR-Guided Radiation Therapy	Jia, Xun	The University of Texas Southwestern Medical Center	\$250,000
11	RP200504	CFSA	2.3	Comprehensive Cancer Epigenomics Core Facility	Chen, Rui	Baylor College of Medicine	\$3,999,943
12	RP200670	ECI	2.5	Early Clinical Investigator Award: Nicolas Palaskas	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,491,551
13	RP200614	HIHRRRA	2.5	Novel Betabody-Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads	Pinney, Kevin	Baylor University	\$250,000
14	RP200655	HIHRRRA	2.5	A Novel Organoid Platform to Modulate Human Neural Networks Integrated With Glioblastoma Stem Cells	Krencik, Robert	The Methodist Hospital Research Institute	\$249,372

15	RP200574	HIHRRRA	2.6	Targeting B Cells to Enhance Responses to Immune Checkpoint Blockade	Wargo, Jennifer	The University of Texas M. D. Anderson Cancer Center	\$249,755
16	RP200509	HIHRRRA	2.7	Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Nonalcoholic Fatty Livers	Tsai, Robert	Texas A&M University System Health Science Center	\$250,000
17	RP200595	HIHRRRA	2.7	SERBP1, Epigenetic Regulation and Glioblastoma Targeting	Penalva, Luiz	The University of Texas Health Science Center at San Antonio	\$249,968
18	RP200633	CAP-RA	2.8	Reducing Disparities in the Risk of Hepatocellular Cancer	KANWAL, FASIHA	Baylor College of Medicine	\$2,434,495
19	RP200537	CAP-RA	2.9	Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics	Thrift, Aaron	Baylor College of Medicine	\$2,473,314
20	RP200657	HIHRRRA	2.9	Screening for Melanoma Genes Using Natural Hybrid Incompatibilities	Schartl, Manfred	Texas State University - San Marcos	\$248,458
21	RP200617	HIHRRRA	2.9	Pathological Role of Neuronal Cell Cycle Reentry in the Development of Chemotherapy-Induced Peripheral Neuropathy	Lee, Hyoung-gon	The University of Texas at San Antonio	\$250,000
22	RP200650	HIHRRRA	2.9	Characterization of Salmonella Tumor-Targeting Mechanisms and Oncolytic Potential	Kenney, Linda	The University of Texas Medical Branch at Galveston	\$250,000

23	RP200612	HIHRRRA	3.1	Elucidating Premetastatic Niches at Single-Cell Resolution	Giancotti, Filippo	The University of Texas M. D. Anderson Cancer Center	\$249,996
24	RP200620	HIHRRRA	3.2	Targeting Fatty Acid Synthesis in NAFLD-Related HCC	Dong, Bingning	Baylor College of Medicine	\$250,000
25	RP200615	HIHRRRA	3.4	Small RNA Nanovector-Based Targeted Immunotherapy for Glioblastoma	Lee, Tae Jin	The University of Texas Health Science Center at Houston	\$250,000
26	RP200572	CFSA	3.6	From Whole-Animal Imaging to Superresolution Microscopy: An Imaging Core for the TTUHSC Campus at Amarillo	Bickel, Ulrich	Texas Tech University Health Sciences Center	\$2,831,213
27	RP200593	HIHRRRA	3.6	High-Throughput Nondestructive Enumeration and Characterization of CTCs in Whole Blood by a Thin Film "Tactile" Microfluidics and Holographic Interferometry	Sheng, Jian	Texas A&M University - Corpus Christi	\$247,703
28	RP200526	HIHRRRA	3.7	Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma	Zhu, Jay-Jiguang	The University of Texas Health Science Center at Houston	\$249,794

San Diego

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July 16, 2020

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 May 14, 2020 (REC Cycle 20.10), June 11, 2020 (REC Cycle 20.11) and on July 9, 2020 (REC Cycle 20.12) 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 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 \$29,997,660. Note that application #RR200081 was withdrawn prior the the Program Intergation 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

Rank	ID	Award Mechanism	Candidate	Organization	Recommended Budget	Overall Score
1	RR200079	RFTFM	Di Stefano, Bruno	Baylor College of Medicine	\$2,000,000	1.0
2	RR200080	RFTFM	Huang, Pengxiang	Baylor College of Medicine	\$2,000,000	1.0
3	RR200084	RFTFM	Zeng, Xing	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
4	RR200076	RFTFM	Pillon, Monica	Baylor College of Medicine	\$2,000,000	1.0
5	RR200095	RFTFM	Chen, Jin	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
6	RR200093	REI	Pollard, Jeffrey	The Methodist Hospital Research Institute	\$5,997,660	1.0
7	RR200090	RFTFM	Gruber, Joshua	The University of Texas Southwestern Medical Center	\$2,000,000	1.3
8	RR200063	RFTFM	Li, Hongjie	Baylor College of Medicine	\$2,000,000	2.0
9	RR200089	RFTFM	Zhao, Peng	The University of Texas Health Science Center at San Antonio	\$2,000,000	2.0
10	RR200108	RFTFM	Sandstrom, Andrew	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
11	RR200112	REI	Gius, David	The University of Texas Health Science Center at San Antonio	\$6,000,000	2.0

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



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

MEMORANDUM

**TO:** CPRIT OVERSIGHT COMMITTEE  
**FROM:** RAMONA MAGID, CHIEF PREVENTION OFFICER  
**SUBJECT:** PREVENTION GRANT RECOMMENDATIONS – FY 2020 CYCLE 2  
**DATE:** AUGUST 4, 2020

**Summary and Recommendation:**

The Program Integration Committee (PIC) has completed its review of the recommendations forwarded by the Prevention Review Council (PRC). The PIC recommends awarding 8 projects for FY 2020 Cycle 2 totaling \$14,063,633. The grant recommendations are presented in two (2) slates.

Number	Grant Type	Amount
1	<i>Tobacco Control and Lung Cancer Screening</i>	\$ 1,000,000
7	<i>Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations</i>	\$ 13,063,633

**Background:**

FY 2020 Cycle 2 (20.2)

CPRIT released three (3) RFAs in November 2019 for the second review cycle of FY 2020. Eighteen (18) prevention applications requesting \$24,183,674 underwent peer review by teleconference on May 12, 2020 and the programmatic review by the PRC was conducted June 15, 2020.

Program Priorities Addressed

All the recommended applications address one or more of the Prevention Program priorities. Some applications address more than one priority. See the attached chart for additional detail.

<u>Number of Applications Addressing Priorities</u>		
5	Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence	\$ 8,071,275
7	Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence	\$12,595,905
8	Prioritize underserved populations	\$14,063,333

***Tobacco Control and Lung Cancer Screening***

**Mechanism:** This award mechanism seeks to fund programs on tobacco prevention and cessation, as well as screening for early detection of lung cancer. Through release of this RFA, CPRIT’s goal is to stimulate more programs across the state, thereby providing greater access for underserved populations and reducing the incidence and mortality rates of tobacco-related cancers. This RFA seeks to promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth.

Award: Maximum of \$2M for expansion projects and \$1M for new projects; Maximum duration of 36 months.

**Recommended projects (1): \$1,000,000**

Four (4) applications were submitted in this mechanism. One (1) tobacco control and lung cancer screening project is recommended.

**Project Descriptions**

PP200071	TCL	Promoting access to maternal smoking cessation and smoke-free home services among low-income rural pregnant women and their household smokers	Chen, Lei-Shih	Texas A&M University	2.6	\$1,000,000
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**CPRIT Priorities addressed:** Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

This project proposes to develop and implement an evidence-based, comprehensive, multi-component, and bilingual (English and Spanish) program to promote the accessibility of smoking cessation services and prevention of secondhand smoke exposure among rural, low-income pregnant women and their families in the Brazos Valley Region. The project will provide training to 180 health professionals in clinical and community settings to establish a “prenatal smoking cessation services competent” health professional workforce in the region. The project plans to collaborate with nine WIC and prenatal care clinics serving rural, low-income, and uninsured/underinsured pregnant women in the BV Region to implement the Baby & Me Tobacco Free smoking cessation program. Community health workers will deliver the case management and personalized navigation services to improve the accessibility of usual care and smoking cessation resources and services for all participants.

## ***Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations***

### **Mechanism:**

This award mechanism seeks to support the coordination and expansion of evidence-based services to prevent cancer in underserved populations who do not have adequate access to cancer prevention interventions and health care, bringing together networks of public health and community partners to carry out programs tailored for their communities. Projects should identify cancers that cause the most burden in the community and use evidence-based models shown to work in similar communities to prevent and control these cancers. Currently funded CPRIT projects should propose to expand their programs to include additional types of prevention clinical services and/or an expansion of current clinical services into additional counties. In either case, the expansion must include delivery of services to nonmetropolitan and medically underserved counties in the state.

Award: Maximum of \$2M; Maximum duration of 36 months.

### **Recommended projects (7): \$13,063,633**

Eight (8) applications were submitted in this mechanism. Seven (7) expansion of cancer prevention services to rural and medically underserved populations projects are recommended.

### **Project Descriptions**

PP200048	EPS	Expanding a successful postpartum HPV vaccination project to women in the Rio Grande Valley	Berenson, Abbey	The University of Texas Medical Branch at Galveston	2.0	\$1,999,991
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**CPRIT Priorities addressed:** Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

This project proposes to expand a highly successful, innovative postpartum vaccination program. This project is designed to reach a large population of women at increased risk of cervical cancer. The project plans to extend its reach to the Rio Grande Valley. Its focus will be on patients 11–26 years of age as this represents the highest risk group for future HPV infections. Those without evidence of prior HPV vaccination will receive personal counseling from patient navigators. If they agree, they will receive a dose prior to discharge. To assure series completion, patient navigators will stay in close contact with patients and coordinate follow-up injections with postpartum visits, send appointment reminders by text and phone, and reschedule missed appointments as needed. A robust provider education component for physicians, residents, as well as medical and nursing students, will stress the importance of recommending the vaccine to eligible patients.

PP200066	EPS	Expanding Mailed Stool Test-Based Colorectal Cancer Screening in Vulnerable Populations in Central Texas	Pignone, Michael	The University of Texas at Austin	2.0	\$1,999,227
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**CPRIT Priorities addressed:** Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

This project proposes to expand, in partnership with two local Federally Qualified Health Clinic networks, the successful, multi-faceted colorectal cancer (CRC) intervention that includes provider education, mailed FIT, access to patient navigation for improving timely follow-up of positive FIT, development of a screening and surveillance registry, and enhanced access to colonoscopy for vulnerable urban and rural patients in Central Texas. A key aspect of the expanded program will be extension of its work to rural areas of Central Texas that have not been served by existing mailed FIT programs. Increasing CRC screening in vulnerable patients in Central Texas will reduce CRC incidence and mortality and decrease overall costs of care through reduction in treatment costs. Lessons learned from the expanded mailed FIT program will be used to develop plans for a state-wide program to meet the needs of vulnerable patients throughout Texas.

PP200064	EPS	A Regional Expansion of Cervical Cancer Screening and Patient Navigation in North Texas (E-XSPAN)	Argenbright, Keith	The University of Texas Southwestern Medical Center	2.1	\$1,999,996
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**CPRIT Priorities addressed:** Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

The proposed Regional Expansion of Cervical Cancer Screening and Patient Navigation (E-XSPAN) aims to increase screening rates and access to care among these vulnerable populations in North Texas. The program will target rural, un/underinsured populations within a 67-county service area. The region has been identified to include rural counties with the highest incidence rates and target public health regions where mortality is highest, including regions 2 and 4/5N. The E-XSPAN program will leverage existing framework, including community outreach and health promotion, comprehensive cervical cancer screening and follow-up care with nurse-driven clinical navigation through follow-up and treatment where appropriate, and centralized reimbursement for local providers. In addition to expanding geography, service delivery will also expand to include HPV vaccination and education.

PP200075	EPS	Establish a Comprehensive Cancer Prevention and Support Program among Asian-American Communities in Houston, Dallas/Fort Worth and Austin Areas of Texas	Sun, Helen	Light and Salt Association	2.1	\$1,467,728
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**CPRIT Priorities addressed:** Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

The proposed project will adopt a multisector collaborative and culturally and linguistically competent cancer prevention and support program to effectively reduce service gaps, diagnoses and deaths in different AA populations, including Vietnamese, Chinese, Filipino and Korean communities. The project will expand the scope of the previous two CPRIT-funded projects to include Asian Americans (AAs) living in the Texas Gulf Coast area. The project is a joint effort of seven AA community-based organizations, eight local healthcare providers and one university. The cancer prevention and screening components address colon, breast, cervical and liver cancer. The methods of service delivery include seminars, workshops, web-based and in-person classes, one-on-one education, and local TV and newspaper articles. The survivorship/navigation program provides group-based interventions and one-on-one peer and navigation support for patients with abnormal screening results or cancer diagnosis.

PP200057	EPS	School-based Human Papillomavirus Vaccination Program in the Rio Grande Valley: Continuation and Expansion in Starr, Zapata, and Jim Hogg County	Rodriguez, Ana	The University of Texas Medical Branch at Galveston	2.2	\$1,993,140
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**CPRIT Priorities addressed:** Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

This project aims to increase HPV vaccination uptake in Starr, Hidalgo, Jim Hogg, and Zapata Counties to match the 2018 National Immunization Survey (NIS)-Teen rates for Texas by expanding CPRIT activities. Activities will include the continuation of the successful outreach and education campaign in Starr, Hidalgo, and Cameron Counties expanding to Jim Hogg and Zapata Counties; school-based HPV vaccination program in six school districts; and expansion of program activities and support services including follow-up navigation, data collection, tracking, and systems improvement. The unique model centers around a strong collaboration between academic medical institutions, county health departments, and school districts to employ school-based and community-based education events. The evidence-based intervention provides the HPV vaccine in an alternative setting (schools) and creates support for HPV vaccination through education and outreach.

PP200070	EPS	EXPANSION OF TEXAS A&M'S CANCER PREVENTION PROGRAM TO RURAL AND MEDICALLY UNDERSERVED WOMEN	Lichorad, Anna	Texas A&M University System Health Science Center	3.1	\$1,656,478
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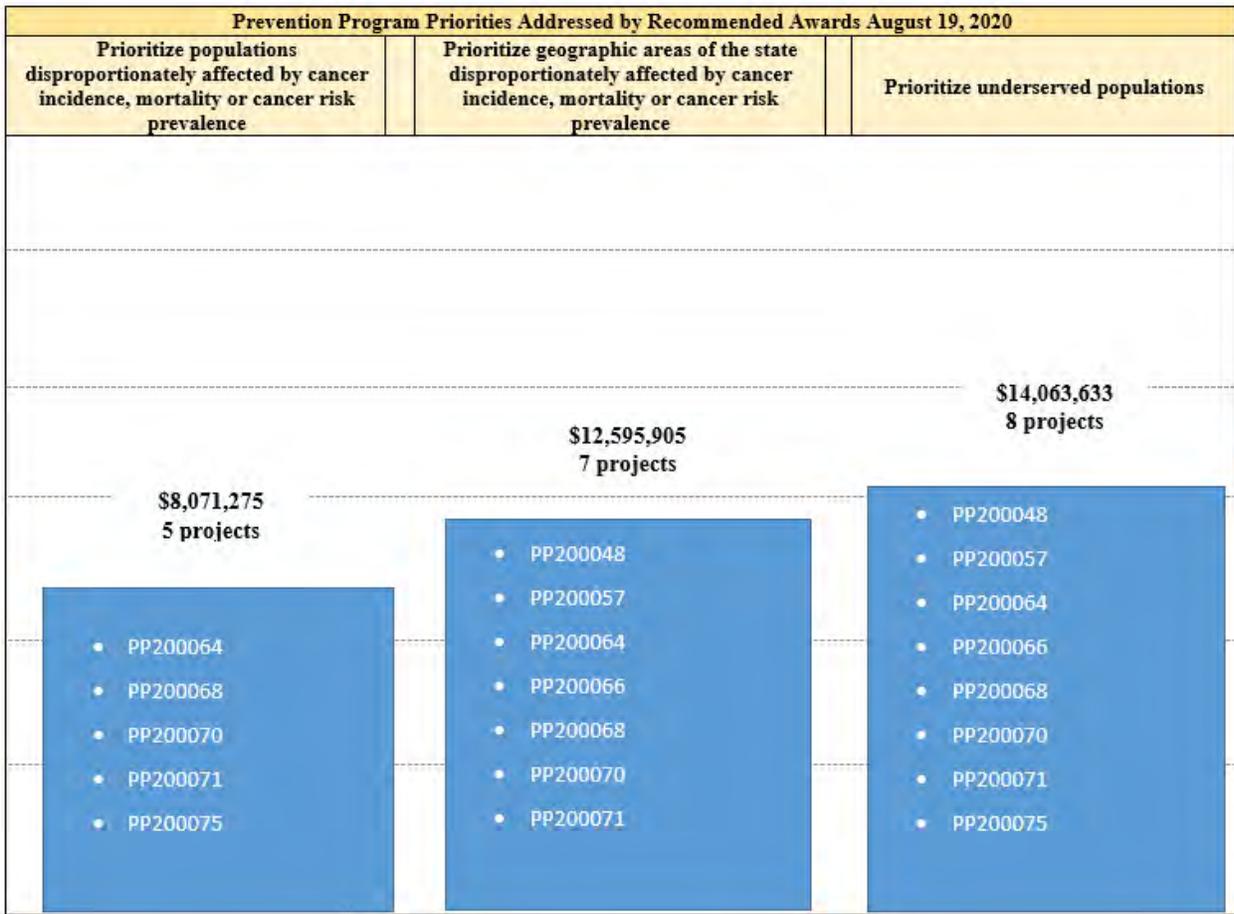
**CPRIT Priorities addressed:** Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

The TX Cancer Screening, Training, Education and Prevention (C-STEP) project proposes to expand its women’s health program to include direct services for not only breast and cervical cancers, but also for colorectal, liver and skin cancer. C-STEP will expand its geographic reach – to include rural northern Harris County, rural coastal plains counties (DeWitt, Karnes, Lavaca), and Goliad County. The project will provide education, navigation by state-certified community health workers (CHW), and comprehensive cancer screening and diagnostic services for low-income rural and medically underserved women in 21 TX counties, while providing expanded cancer prevention training to family physician residents, nursing and Nurse Practitioner students, and CHWs. The network of over 450 rural community partners will support outreach and education activities at events in target counties. Rural mobile mammography, provided by The Rose, will reduce barriers to breast cancer screening in the 21-county service area.

PP200068	EPS	Expanding Colorectal Cancer Prevention and Education Through Community-Based Outreach and Information Technology	Rustveld, Luis	Baylor College of Medicine	3.4	\$1,947,073
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**CPRIT Priorities addressed:** Prioritize populations disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality or cancer risk prevalence; prioritize underserved populations

The proposed CPRIT project proposes to develop and implement a culturally and linguistically appropriate community-based program to coordinate outreach and education about colorectal cancer (CRC) prevention and screening guidelines for early detection of CRC in age-eligible community residents. The project plans to expand a successful Electronic Health Record (EHR) based colorectal cancer (CRC) screening, follow-up and, education program to a geographic area of the state disproportionately affected by CRC incidence and mortality, Nacogdoches and Shelby counties. A Rural and Urban Network for Cancer Prevention through Outreach and Education (RUN-CPOE) collaborative will engage the community around CRC prevention and screening education guidelines and improve access to CRC screening services for age-eligible community residents without a current medical home by creating a community-based CRC screening registry.



Note: Some grant awards address more than one program priority and will be double counted.

Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)  
Via email to Dee Margo assistant, Olivia Zepeda, [zepedaox@elpasotexas.gov](mailto:zepedaox@elpasotexas.gov)

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. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.2 Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS) and and Tobacco Control and Lung Cancer Screening (TCL) awards.

The PRC met on June 15, 2020 to consider the applications recommended by the peer review panel following their May 12 meeting.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC made changes to the goals, project objectives, or timelines on two applications.

The remaining funding available for fiscal year 2020 is \$14,527,312. These recommended projects total \$14,063,633.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,  
Stephen W. Wyatt, DMD, MPH  
Chair, CPRIT Prevention Review Council

Attachment

App ID	Mechanism	Type	Title	PD	Organization	Total Requested Budget	Average Score	Rank Order
PP200048	EPS	New	Expanding a successful postpartum HPV vaccination project to women in the Rio Grande Valley	Berenson, Abbey	The University of Texas Medical Branch at Galveston	\$ 1,999,991	2.0	1
PP200066	EPS	New	Expanding Mailed Stool Test-Based Colorectal Cancer Screening in Vulnerable Populations in Central Texas	Pignone, Michael	The University of Texas at Austin	\$ 1,999,227	2.0	2
PP200064	EPS	New	A Regional Expansion of Cervical Cancer Screening and Patient Navigation in North Texas (E-XSPAN)	Argenbright, Keith	The University of Texas Southwestern Medical Center	\$ 1,999,996	2.1	3
PP200075	EPS	Resubmission	Establish a Comprehensive Cancer Prevention and Support Program among Asian-American Communities in Houston, Dallas/Fort Worth and Austin Areas of Texas	Sun, Helen	Light and Salt Association	\$ 1,467,728	2.1	4
PP200057	EPS	New	School-based Human Papillomavirus Vaccination Program in the Rio Grande Valley: Continuation and Expansion in Starr, Zapata, and Jim Hogg County	Rodriguez, Ana	The University of Texas Medical Branch at Galveston	\$ 1,993,140	2.2	5
PP200071	TCL	Resubmission	Promoting access to maternal smoking cessation and smoke-free home services among low-income rural pregnant women and their household smokers	Chen, Lei-Shih	A&M University	\$ 1,000,000	2.6	6
PP200070	EPS	New	EXPANSION OF TEXAS A&M'S CANCER PREVENTION PROGRAM TORURAL AND MEDICALLY UNDERSERVED	Lichorad, Anna	Texas A &M University System Health Science Center	\$ 1,656,478	3.1	7
PP200068	EPS	Resubmission	Expanding Colorectal Cancer Prevention and Education Through Community-Based Outreach and Information Technology	Rustveld, Luis	Baylor College of Medicine	\$ 1,947,073	3.4	8

<b>Product Development Research Priorities Addressed by the Recommended 20.2 Cycle Awards</b>					
<b>Funding novel projects that offer therapeutics or diagnostics not currently available, i.e., disruptive technologies</b>	<b>Funding projects addressing large or challenging unmet medical needs</b>	<b>Investing in early stage projects when private capital is least available</b>	<b>Stimulating commercialization of technologies developed at Texas institutions</b>	<b>Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life sciences expertise, especially C-level staff to lead seed clusters of life science expertise at various Texas locations</b>	<b>Providing appropriate return on Texas taxpayer investment</b>
<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>
<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>

Note: Some grant awards address more than one program priority and will be double counted.



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**To:** OVERSIGHT COMMITTEE MEMBERS  
**From:** CINDY WALKERPEACH, PHD  
CHIEF PRODUCT DEVELOPMENT OFFICER  
**Subject:** FY 20.2 PRODUCT DEVELOPMENT GRANT RECOMMENDATIONS  
**Date:** AUGUST 5, 2020

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**Summary of Recommendation:**

The Product Development Review Council (PDRC) and the Program Integration Committee (PIC) recommend that the Product Development Subcommittee and the Oversight Committee approve product development research grant awards to the following applicants: OncoNano Medicine, Inc., and ImmunoGenesis, Inc. Table 1 reflects the ranked award recommendations, including the maximum recommended funding amounts and the evaluation scores for the two grant applications recommended for awards.

The PDRC did not make any changes to the proposed goals and objectives, timelines or budgets for the two projects recommended for funding. However, one of these recommendations is contingent on the review of items associated with the following:

- Execution of the CPRIT award contract for ImmunoGenesis, Inc. is contingent on the company hiring a CMO and CSO and funds must be withheld until the PDRC can review the pre-IND minutes from the FDA and until the IND is cleared.

The Chief Product Development Officer will notify the Oversight Committee if the awardee is unable or unwilling to address the contract contingencies outlined above.

The PDRC did not identify any contingencies associated with the award contract to OncoNano Medicine, Inc.

**Table 1: 20.2 Review Cycle PDRC and PIC Award Recommendations**

Rank	Application ID	Mechanism (Cycle)	Company Name	Project	Score*	Maximum Budget
1	DP200081	TXCO (20.2)	OncoNano Medicine, Inc.	Image-guided Surgical Detection of Metastatic Disease to the Peritoneum, Lymph Nodes and Pleural Surfaces	2.1	\$ 9,965,273
2	DP200094	TXCO (20.2)	ImmunoGenesis, Inc.	Cytoreductive bispecific PD-L1/PD-L2 antibodies active across immune “hot” and “cold” cancers	2.4	\$15,455,860
					Total	\$25,421,133

\* average reviewer score from videoconference “in-person” peer review

**Background - FY 2020 Review Cycle 2**

CPRIT released three RFAs on November 20, 2019, and accepted applications through January 29, 2020. Applicants submitted twenty-eight (28) proposals, all of which passed administrative review. The initial peer review screening teleconference was held March 23-24, 2020 and eight (8) applicants were invited by the peer review panel to make presentations at the Peer Review Meeting held April 21-24, 2020. The April Peer Review applicant presentations were held via video teleconference instead of the usual in-person format due to health concerns associated with the coronavirus pandemic. As a result of the Peer Review Meeting, the review panels recommended four (4) applications for the diligence evaluation phase of peer review.

The PDRC convened on July 6, 2020 for the Diligence Evaluation meeting. After consideration of the diligence materials, the PDRC recommended two (2) of the 20.2 applications for grant awards. Dr. Jack Geltosky, Chair PDRC, noted in his letter to the PIC and the Oversight Committees that the PDRC’s recommendation to fund these two (2) awards reflected 50+ hours of individual review and panel discussion of each proposal as well as the PDRC’s review of the diligence materials for each company.

**Program Priorities Addressed by the 20.2 Cycle Proposed Awards**

The chart below reflects that all recommended applications address one or more of the Product Development Research Program priorities.

Applications Addressing Priorities*	Product Development Program Priorities	Award Amount per Priority*
2	Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies	\$25,421,133
2	Funding projects addressing large or challenging unmet medical needs	\$25,421,133
2	Investing in early stage projects where private capital is least available	\$25,421,133
2	Stimulating commercialization of technologies developed at Texas institutions	\$25,421,133
2	Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations	\$25,421,133
2	Providing appropriate return on taxpayer investment	\$25,421,133

\*Some proposed grant awards address more than one program priority.

**Mechanism of Support and Program Objectives**

Proposals submitted in the 20.2 review cycle responded to one of three product development research RFAs.

- Texas Company Product Development Research Award (TXCO)*  
 This award mechanism seeks to support early stage “startup” and established companies in the development of innovative products and services with significant potential impact on cancer patient care. The proposed project must further the development of new products or services for the diagnosis, treatment, or prevention of cancer; must foster a robust biotechnology industry ecosystem; or must fulfill a critical unmet need in cancer patient care. Companies must be headquartered in Texas.

Strong candidates for the TXCO award have developed a sufficiently robust data package, value proposition, regulatory strategy, manufacturing plan, and experienced business/management team to warrant the amount of funding requested.

Award: Maximum amount \$20 million over 36 months

- Relocation Company Product Development Research Award (RELCO)*  
 This award mechanism seeks to support early stage “startup” and established companies in the development of innovative products and services with significant potential impact on cancer patient care. The proposed project must further the development of new products or services for the diagnosis, treatment, or prevention of cancer; must foster a robust

biotechnology industry ecosystem; or must fulfill a critical unmet need in cancer patient care. Companies must relocate to Texas upon receipt of award.

Strong candidates for the RELCO award have developed a sufficiently robust data package, value proposition, regulatory strategy, manufacturing plan, and experienced business/management team to warrant the amount of funding requested.

Award: Maximum amount \$20 million over 36 months

- *Seed Award for Product Development Research (SEED)*  
This award mechanism seeks to support early stage “startup” companies in the development of innovative products and services with significant potential impact on cancer patient care.

The proposed project must further the development of new products or services for the diagnosis, treatment, or prevention of cancer; must foster a robust biotechnology industry ecosystem; or must fulfill a critical unmet need in cancer patient care. Company applicants must be headquartered in Texas or be willing to relocate to Texas upon receipt of award

Strong candidates for the SEED award have developed compelling discovery stage data and/or developed a working prototype (if applicable) around a novel compound, diagnostic, device, computational tool, etc. that warrants further development efforts to establish proof of concept (POC) on the early pathway to commercial product. In addition, strong candidates have at a minimum developed a strong value proposition, preliminary regulatory strategy, preliminary manufacturing plan, and early business/management team to warrant the amount of funding requested.

Award: Maximum amount of \$3 million over 36 months.

### **CPRIT’s Grant Award Contract and Risk Mitigation**

Investing in early stage translational cancer research is inherently risky. Products in development at CPRIT Product Development Research awardees that show promise in the laboratory and in animal studies may not make a measurable difference in humans or the treatment’s side effects may be so severe as to not justify the benefits. Along with the increased risk of technical failure, human studies are more complex and expensive than laboratory and animal studies.

CPRIT addresses the risk associated with product development research awards by tying disbursement of grant funds to the grantee achieving specific project goals and objectives. The grant contract requires the company to report at least annually on its progress. To receive the next tranche of project funding, the grantee must show that it has accomplished all the goals and objectives for the previous project year. The company will only receive the entire approved award amount if it successfully achieves all project goals and objectives. Because contractual goals are usually associated with project milestones, such as receiving FDA approval for an

Investigational New Drug filing or completing a clinical trial, achieving all agreed-upon goals also means that the project is making meaningful progress to becoming a treatment option.

**Product Development Research Program Awards  
Recommended by the PDRC and PIC for FY 2020 Review Cycle 2**

***OncoNano Medicine, Inc.  
Proposed Texas Company Product Development Research Award***

**Summary of Recommendation**

The PDRC and the PIC recommend that the Oversight Committee approve a Texas Company Product Development Research Award to OncoNano Medicine Inc. for \$9,965,273.

OncoNano Medicine, Inc. is a spinout company of the University of Texas Southwestern Medical School and is headquartered in Southlake, Texas. The company has applied for CPRIT funding to support the development of a novel imaging agent known as ONM-100 for use in intraoperative surgical resection of solid tumors. The technology aims to help providers visualize tumors that they may have otherwise missed and is focused on the identification of metastatic disease in the peritoneum, lymph nodes and pleural surfaces resulting from gastric, colorectal, prostate, ovarian, lung, and breast cancers. Currently, there are very few tools or technologies that allow doctors to visualize small tumors that have metastasized, and therefore this technology addresses a critical unmet need for cancer patients.

OncoNano Medicine, Inc. was the recipient of a \$6,000,000 CPRIT New Company Product Development Award in 2014 to support the development of ONM-100 for imaging cancer. ONM-100 was granted a Fast Track designation and is currently in Phase 2 clinical trials for the detection of cancer in patients with solid tumors undergoing routine surgery. In addition, OncoNano Medicine, Inc. received a \$15,427,699 Texas Company Product Development Award in 2019 to support the development of a nanovaccine known as ONM-500 for human papilloma virus (HPV) associated cancers.

**CPRIT Product Development Research Program Priorities Addressed**

OncoNano Medicine Inc.'s proposed project addresses all six Product Development Research Program Priorities:

- Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies;
- Funding projects addressing large or challenging unmet medical needs;
- Investing in early stage projects where private capital is least available;
- Stimulating commercialization of technologies developed at Texas institutions;
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations; and
- Providing appropriate return on taxpayer investment.

## Project Summary and Scientific Rationale

The identification of metastatic disease is a major unmet need in oncology. Metastatic disease represents 45-50% of all cancer diagnoses and is responsible for 90% of patient deaths. Improvement in visualization of metastatic disease, both preoperatively and during surgery, is critical for initial diagnosis, accurate staging, therapeutic choice and efficacy – and is closely tied to patient survival. OncoNano Medicine’s grant proposal aims to extend the use of ONM-100 for identification of metastatic disease in the peritoneum, lymph nodes and pleural surfaces – areas that comprise 20% of metastatic disease and result from primary tumors originating from numerous cancer types.

Standard of Care (SOC) for primary tumor detection is primarily preoperative PET, CT and MRI – none of which are real time – and visualization and palpation during resections. All of these SOC methods are inadequate for accurate staging, do not enable metastatic detection, and may necessitate second-look surgeries which are generally ineffective in removing residual disease. This means added expense for patients and insurers as well as time and pain for patients, with no guarantee that all metastatic disease is removed. OncoNano Medicine claims that the combination of a robust and universal biomarker in pH, superior specificity and sensitivity, an excellent safety record and compatibility with all commercially available clinical cameras favorably positions ONM-100 over the competition.

The company seeks CPRIT funding to support drug manufacturing activities, nonclinical studies, and initiation of a Phase 2 clinical trial.

## Select Reviewer Comments

- *The real-time identification of metastatic disease is a major unmet need in oncology, specifically the ability to visualize it during surgical dissection in the peritoneum, lymph nodes, and pleural surfaces.*
- *The SOC to detect disease preoperatively is oftentimes woefully inadequate. The enhanced sensitivity and specificity of ONM-100 should be an exciting advance for surgeons.*
- *Clinical and regulatory plans are realistic; further, the applicant has a proven track record with CPRIT and has demonstrated that it can deliver successfully and as projected on preclinical, clinical, and regulatory milestones.*
- *The management team is strong and has a track record with CPRIT, and the market opportunity is large.*

***ImmunoGenesis, Inc.***  
***Proposed Texas Company Product Development Research Award***

### **Summary of Recommendation**

The PDRC and the PIC recommend that the Oversight Committee approve a Texas Company Product Development Research Award to ImmunoGenesis, Inc. for \$15,455,860.

ImmunoGenesis, Inc. is a spinout company of MD Anderson Cancer Center (MDACC) and is based in Houston, TX. In the last decade, checkpoint inhibitor immunotherapy drugs have revolutionized therapy for many cancers, and new combination therapies continue to evolve. However, only a minority (~45%) of cancer patients are eligible to receive these drugs and among those less than 20% achieve a complete or even partial response. ImmunoGenesis' technology is a new type of immunotherapy that aims to benefit the majority (55%) of patients ineligible to receive current drugs, and also has the potential to improve responses in existing indications.

ImmunoGenesis, Inc. proposes to use CPRIT funding to support the development of a first-in-class immunotherapy drug known as IMGS-001. The CPRIT funding will support drug manufacturing activities, nonclinical studies and a Phase 1 clinical trial. The technology addresses all cancer types.

### **CPRIT Product Development Research Program Priorities Addressed**

ImmunoGenesis, Inc.'s proposed project addresses all six Product Development Research Program Priorities:

- Funding novel projects that offer therapeutic or diagnostic benefits not currently available, i.e. disruptive technologies;
- Funding projects addressing large or challenging unmet medical needs;
- Investing in early stage projects where private capital is least available;
- Stimulating commercialization of technologies developed at Texas institutions;
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff to lead to seed clusters of life science expertise at various Texas locations; and
- Providing appropriate return on taxpayer investment.

### **Project Summary and Scientific Rationale**

Antibody drugs which block engagement of the T cell co-inhibitory receptor programmed cell death-1 (PD-1) or its cognate ligand programmed death-1 ligand 1 (PD-L1) are the cornerstone of immunotherapy's emergence as a key pillar of modern oncology. For patients with "hot", immune infiltrated, cancers, PD-1 blockade offers moderate to high frequencies of objective

clinical responses and the chance of durable lifelong cures. The majority of cancer patients, however, present with “cold” tumors with low frequencies of immune-targetable mutations and little or no immune infiltration. In this setting, PD-1 blockade benefits less than 5% of patients and there are no FDA-approved indications excepting the small minority of patients with underlying mismatch-repair deficiencies. Even across the “hot” and “warm” cancers for which there are FDA-approved PD-(L)1 indications, the response rate to PD-1 blockade remains under 25%. Thus, a critical need exists for immunotherapies that both provide more consistent benefit for patients with immune-infiltrated tumors, and also mediate significant clinical responses against “cold” cancers.

In this CPRIT Product Development grant application, ImmunoGenesis, Inc. proposes to use CPRIT funding to perform manufacturing activities and nonclinical studies to further development of their innovative, first-in-class immunotherapy drug, IMGS-001, and to open a clinical trial at MDACC and other Texas clinics. The company is also developing a biomarker test to identify the patients most likely to benefit from IMGS-001.

### Select Reviewer Comments

- *This unique constellation of biologic effects, compellingly demonstrated in preclinical studies, is plausibly considered to generate not only more profound tumor antigen T-cell function but also to reverse TME immunosuppression. Taken together, these properties hold the promise of an advance in the current state of the art, with the potential for better efficacy in both immunologically cold and hot tumors.*
- *This is a strong application by a competent management team for a highly innovative and promising approach to the challenge of raising the efficacy of immune checkpoint inhibitors in the treatment of solid tumors.*
- *This immunoinhibitory pathway is extremely well validated, with a number of highly successful products on the market aimed at disrupting this inhibition for therapeutic benefit.*
- *The company has done an excellent job of characterizing the agent biochemically; they know and understand how this agent works.*

<b>Product Development Research Priorities Addressed by the Recommended 20.2 Cycle Awards</b>					
<b>Funding novel projects that offer therapeutics or diagnostics not currently available, i.e., disruptive technologies</b>	<b>Funding projects addressing large or challenging unmet medical needs</b>	<b>Investing in early stage projects when private capital is least available</b>	<b>Stimulating commercialization of technologies developed at Texas institutions</b>	<b>Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life sciences expertise, especially C-level staff to lead seed clusters of life science expertise at various Texas locations</b>	<b>Providing appropriate return on Texas taxpayer investment</b>
<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>	<b>\$25,421,133 2 projects</b>
<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>	<ul style="list-style-type: none"> <li>• DP200081</li> <li>• DP200094</li> </ul>

Note: Some grant awards address more than one program priority and will be double counted.

July 22, 2020

Donald "Dee" Margo  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)  
Via email to Dee Margo's assistant, Olivia Zepeda: [ozepeda@deemargo.com](mailto:ozepeda@deemargo.com)

Wayne R. Roberts  
Program Integration Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprit.texas.gov](mailto:wroberts@cprit.texas.gov)

Dear Dee and Wayne,

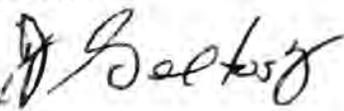
On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research 20.2 grant award cycle. The PDRC convened on July 6, 2020 and recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards for the following applicants: OncoNano Medicine and ImmunoGenesis, Inc. The attached table reflects the ranked award recommendations for the two grant applications.

The PDRC did not make any changes to the proposed goals and objectives, timelines or budgets for the two projects recommended for funding. However, one of these recommendations is contingent on the review of items associated with the following:

- Execution of the CPRIT award contract for ImmunoGenesis, Inc. is contingent on the company hiring a CMO and CSO and funds must be withheld until the PDRC can review the pre-IND minutes from the FDA and until the IND is cleared.

Each of the companies included in the PDRC's recommendation reflects 50+ hours of individual review and panel discussion of the applicants' proposals as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to (1) bring important products to market; (2) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and (3) develop tools and technologies of special relevance to cancer research, treatment and prevention.

Sincerely,

  
/JG/

Jack Geltosky, PhD  
Chair, CPRIT Product Development Review Council

**Attachment**

**Product Development Review Council Award Recommendations**

**FY 2020 Cycle 2**

<b>Rank</b>	<b>Application ID</b>	<b>Mechanism (Cycle)</b>	<b>Company Name</b>	<b>Project</b>	<b>Maximum Recommended Budget</b>	<b>Overall Score*</b>
1	DP200081	TXCO (20.2)	OncoNano Medicine	Image-guided Surgical Detection of Metastatic Disease to the Peritoneum, Lymph Nodes and Pleural Surfaces	\$ 9,965,273	2.1
2	DP200094	TXCO (20.2)	ImmunoGenesis, Inc.	Cytoreductive bispecific PD-L1/PD-L2 antibodies active across immune "hot" and "cold" cancers	\$ 15,455,860	2.4
				Total	\$25,421,133	

\* average reviewer score from videoconference "in-person" peer review



August 7, 2020

Dear Oversight Committee Members:

I am pleased to present the Program Integration Committee's (PIC) unanimous recommendations for funding 62 grant applications totaling \$114,782,561. The PIC recommendations for 52 academic research grant awards, 8 prevention awards, and 2 product development research awards are attached.

Dr. Jim Willson, CPRIT's Chief Scientific Officer, Ms. Ramona Magid, CPRIT's Chief Prevention Officer, and Dr. Cindy WalkerPeach, CPRIT's Chief Product Development Officer, have prepared overviews of the academic research, prevention, and product development research slates to assist your evaluation of the recommended awards. The overviews are intended to provide a comprehensive summary with enough detail to understand the substance of the proposal and the reasons endorsing grant funding. In addition to the full overviews, all of the information considered by the Review Councils is available by clicking on the appropriate link in the portal. This information includes the application, peer reviewer critiques, and the CEO affidavit for each proposal.

The 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 August 19, 2020. Consistent with the non-disclosure agreement that all Oversight Committee members have signed, the recommendations should be kept confidential and not be disclosed to anyone until the award list is publicly announced at the Oversight Committee meeting. I request that Oversight Committee members not print, email or save to your computer's hard drive any material on the portal. I appreciate your assistance in taking all necessary precautions to protect this information.

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

Sincerely,  
Wayne R. Roberts, Chief Executive Officer

## Academic Research Award Recommendations –

The PIC unanimously recommends approval of 52 academic research grant proposals totaling \$75,298,095. The recommended grant proposals were submitted in response to ten grant mechanisms: *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards; Core Facility Support Awards; Early Clinical Investigator Award; High-Impact/High-Risk Research Awards; Individual Investigator Research Awards; Individual Investigator Research Awards for Cancer in Children and Adolescents; Individual Investigator Research Awards for Clinical Translation; Individual Investigator Research Awards for Prevention and Early Detection; Recruitment of First-Time, Tenure-Track Faculty Members; Recruitment of Established Investigators*. The PIC's academic research recommendations include 13 award recommendations from the Scientific Review Council that the PIC deferred on February 4, 2020. The Scientific Review Council provided the prioritized list of recommendations for the awards to the presiding officers on July 17, 2020.

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

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

**Academic Research Grant Award Recommendations**

<b>Rank</b>	<b>Application ID</b>	<b>Mechanism</b>	<b>Score</b>	<b>Application Title</b>	<b>PI</b>	<b>PI Organization</b>	<b>Recommended Budget</b>
1	RP200668	CFSA	1.1	The Combinatorial Drug Discovery Program (COOP)	Davies, Peter	Texas A&M University System Health Science Center	\$3,989,892
2	RP200554	CAP-RA	1.2	A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality	Singal, Amit	The University of Texas Southwestern Medical Center	\$2,499,995
3	RP200584	ECI	1.4	CPRIT Early-Career Clinical Investigator Award for Applicant: Premal Lulla, MD	Dickinson, Mary	Baylor College of Medicine	\$1,500,000
4	RP200619	CFSA	1.8	CPRIT RNA Therapeutics Core	Cooke, John	The Methodist Hospital Research Institute	\$3,999,995
5	RP200549	ECI	1.8	Enhancing Neoantigen Expression and Immune Checkpoint Inhibitor Response Using Splicing Modulators in Hepatocellular Carcinoma	Arteaga, Carlos	The University of Texas Southwestern Medical Center	\$1,499,998
6	RP200669	ECI	1.8	CPRIT Early Clinical Investigator Award: Chad Tang	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,499,996

PIC Recommendation  
 FY2020 (August)

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Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
7	RP200532	HIHRA	1.9	Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Antitumor Immunity	Lissanu Deribe, Yonathan	The University of Texas M. D. Anderson Cancer Center	\$249,992
8	RP200604	HIHRA	2.0	Targeting Plasma Membrane Spatial Dynamics to Suppress Obesity-Induced Colon Cancer	Chapkin, Robert	Texas Agrilife Research	\$250,000
9	RP200520	HIHRA	2.1	Developing Single- Cell RNAseq-Based Genetic Screens to Identify Novel Targets for Cancer Immunotherapy	Peng, Weiyi	University of Houston	\$250,000
10	RP200573	HIHRA	2.2	Low-Cost Nonconventional Ultralow-Field MRI Scanner for the Next-Generation MR-Guided Radiation Therapy	Jia, Xun	The University of Texas Southwestern Medical Center	\$250,000
11	RP200504	CFSA	2.3	Comprehensive Cancer Epigenomics Core Facility	Chen, Rui	Baylor College of Medicine	\$3,999,943
12	RP200670	ECI	2.5	Early Clinical Investigator Award: Nicolas Palaskas	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,491,551

PIC Recommendation  
 FY2020 (August)

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Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
13	RP200614	HIHRA	2.5	Novel Betabody- Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads	Pinney, Kevin	Baylor University	\$250,000
14	RP200655	HIHRA	2.5	A Novel Organoid Platform to Modulate Human Neural Networks Integrated With Glioblastoma Stem Cells	Krencik, Robert	The Methodist Hospital Research Institute	\$249,372
15	RP200574	HIHRA	2.6	Targeting B Cells to Enhance Responses to Immune Checkpoint Blockade	Wargo, Jennifer	The University of Texas M. D. Anderson Cancer Center	\$249,755
16	RP200509	HIHRA	2.7	Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Nonalcoholic Fatty Livers	Tsai, Robert	Texas A&M University System Health Science Center	\$250,000
17	RP200595	HIHRA	2.7	SERBP1, Epigenetic Regulation and Glioblastoma Targeting	Penalva, Luiz	The University of Texas Health Science Center at San Antonio	\$249,968
18	RP200633	CAP-RA	2.8	Reducing Disparities in the Risk of Hepatocellular Cancer	KANWAL, FASIHA	Baylor College of Medicine	\$2,434,495

PIC Recommendation  
 FY2020 (August)

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Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
19	RP200537	CAP-RA	2.9	Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics	Thrift, Aaron	Baylor College of Medicine	\$2,473,314
20	RP200657	HIHRRRA	2.9	Screening for Melanoma Genes Using Natural Hybrid Incompatibilities	Schartl, Manfred	Texas State University-San Marcos	\$248,458
21	RP200617	HIHRRRA	2.9	Pathological Role of Neuronal Cell Cycle Reentry in the Development of Chemotherapy-Induced Peripheral Neuropathy	Lee, Hyoung-gon	The University of Texas at San Antonio	\$250,000
22	RP200650	HIHRRRA	2.9	Characterization of Salmonella Tumor-Targeting Mechanisms and Oncolytic Potential	Kenney, Linda	The University of Texas Medical Branch at Galveston	\$250,000
23	RP200612	HIHRRRA	3.1	Elucidating Premetastatic Niches at Single-Cell Resolution	Giancotti, Filippo	The University of Texas M. D. Anderson Cancer Center	\$249,996
24	RP200620	HIHRRRA	3.2	Targeting Fatty Acid Synthesis in NAFLD-Related HCC	Dong, Bingning	Baylor College of Medicine	\$250,000
25	RP200615	HIHRRRA	3.4	Small RNA Nanovector-Based Targeted Immunotherapy for Glioblastoma	Lee, Tae Jin	The University of Texas Health Science Center at Houston	\$250,000
26	RP200572	CFSA	3.6	From Whole-Animal Imaging to Superresolution Microscopy: An Imaging Core for	Bickel, Ulrich	Texas Tech University Health Sciences Center	\$2,831,213

PIC Recommendation  
 FY2020 (August)

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Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
				the TTUHSC Campus at Amarillo			
27	RP200593	HIHRRRA	3.6	High-Throughput Nondestructive Enumeration and Characterization of CTCs in Whole Blood by a Thin Film "Tactile" Microfluidics and Holographic Interferometry	Sheng, Jian	Texas A&M University - Corpus Christi	\$247,703
28	RP200526	HIHRRRA	3.7	Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma	Zhu, Jay-Jiguang	The University of Texas Health Science Center at Houston	\$249,794

CAP-RA: Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards

CFSA: Core Facility Support Awards

ECI: Early Clinical Investigator Award

HIHRRRA: High-Impact/High-Risk Research Awards

**Academic Research Recommendations (Previously Deferred on 2/4/2020)**

Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	\$899,985
2	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	\$702,581

PIC Recommendation  
 FY2020 (August)

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Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
3	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	\$900,000
4	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	\$754,398
5	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition-Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	\$1,199,997
6	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	\$900,000
7	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	\$1,198,659
8	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	\$896,896

PIC Recommendation  
 FY2020 (August)

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Rank	Application ID	Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
9	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	\$1,200,000
10	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	\$899,020
11	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	\$900,000
12	RP200240	IIRA	3.1	A Hippo Pathway-Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	\$899,999
13	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	\$1,483,470

IIRA: Individual Investigator Research Awards

IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents;

IIRACT: Individual Investigator Research Awards for Clinical Translation

IIRAP: Individual Investigator Research Awards for Prevention and Early Detection

**Academic Research Recruitment Grant Award Recommendations**

<b>Rank</b>	<b>Application ID</b>	<b>Award Mechanism</b>	<b>Score</b>	<b>Candidate</b>	<b>Organization</b>	<b>Budget</b>
1	RR200079	RFTFM	1.0	Di Stefano, Bruno	Baylor College of Medicine	\$2,000,000
2	RR200080	RFTFM	1.0	Huang, Pengxiang	Baylor College of Medicine	\$2,000,000
3	RR200084	RFTFM	1.0	Zeng, Xing	The University of Texas Southwestern Medical Center	\$2,000,000
4	RR200076	RFTFM	1.0	Pillon, Monica	Baylor College of Medicine	\$2,000,000
5	RR200095	RFTFM	1.0	Chen, Jin	The University of Texas Southwestern Medical Center	\$2,000,000
6	RR200093	REI	1.0	Pollard, Jeffrey	The Methodist Hospital Research Institute	\$5,997,660
7	RR200090	RFTFM	1.3	Gruber, Joshua	The University of Texas Southwestern Medical Center	\$2,000,000
8	RR200063	RFTFM	2.0	Li, Hongjie	Baylor College of Medicine	\$2,000,000
9	RR200089	RFTFM	2.0	Zhao, Peng	The University of Texas Health Science Center at San Antonio	\$2,000,000
10	RR200108	RFTFM	2.0	Sandstrom, Andrew	The University of Texas Southwestern Medical Center	\$2,000,000
11	RR200112	REI	2.0	Gius, David	The University of Texas Health Science Center at San Antonio	\$6,000,000

REI: Recruitment of Established Investigators

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

### **Prevention Award Recommendations –**

The PIC unanimously recommends approval of 8 prevention grant proposals totaling \$14,063,633. The recommended grant proposals were submitted in response to the following mechanisms: *Tobacco Control and Lung Cancer Screening*; and *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations*. The Prevention Review Council provided its recommendation to the presiding officers on June 30, 2020. The PIC approved the recommended rank order as presented by the Prevention Review Council.

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

- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state; and
- address the goals of the Texas Cancer Plan.

**Prevention Grant Award Recommendations**

Rank	Application ID	Mechanism	Score	Application Title	PD	Organization	Budget
1	PP200048	EPS	2.0	Expanding a successful postpartum HPV vaccination project to women in the Rio Grande Valley	Berenson, Abbey	The University of Texas Medical Branch at Galveston	\$1,999,991
2	PP200066	EPS	2.0	Expanding Mailed Stool Test-Based Colorectal Cancer Screening in Vulnerable Populations in Central Texas	Pignone, Michael	The University of Texas at Austin	\$1,999,227
3	PP200064	EPS	2.1	Regional Expansion of Cervical Cancer Screening and Patient Navigation in North Texas (E-XSPAN)	Argenbright, Keith	The University of Texas Southwestern Medical Center	\$1,999,996
4	PP200075	EPS	2.1	Establish a Comprehensive Cancer Prevention and Support Program among Asian-American Communities in Houston, Dallas/Fort Worth and Austin Areas of Texas	Sun, Helen	Light and Salt Association	\$1,467,728
5	PP200057	EPS	2.2	Papillomavirus Vaccination Program in the Rio Grande Valley: Continuation and Expansion in Starr, Zapata, and Jim Hogg County	Rodriguez, Ana	The University of Texas Medical Branch at Galveston	\$1,993,140
6	PP200071	TCL	2.6	Promoting access to maternal smoking cessation and smoke-free home services among low-income rural pregnant women and their household smokers	Chen, Lei-Shih	Texas A&M University	\$1,000,000
7	PP200070	EPS	3.1	EXPANSION OF TEXAS A&M'S CANCER PREVENTION PROGRAM TORURAL AND MEDICALLY UNDERSERVED	Lichorad, Anna	Texas A&M University System Health Science Center	\$1,656,478
8	PP200068	EPS	3.4	Expanding Colorectal Cancer Prevention and Education Through Community-Based Outreach and Information Technology	Rustveld, Luis	Baylor College of Medicine	\$1,947,073

EPS: Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
 TCL: Tobacco Control and Lung Cancer Screening

### **Product Development Research Award Recommendations –**

The PIC unanimously recommends approval of two product development research grant proposals totaling \$25,421,133. The recommended grant proposals were submitted in response to following request for applications: *Texas Company Product Development Awards*. The Product Development Review Council provided its recommendation to the presiding officers on July 22, 2020. The PIC approved the recommended rank order as presented by the Product Development Review Council.

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

- could lead to immediate or long-term medical and scientific breakthroughs in the area of cancer prevention or cures for cancer;
- strengthen and enhance fundamental science in cancer research;
- ensure a comprehensive coordinated approach to cancer research and cancer prevention;
- are interdisciplinary or interinstitutional;
- address federal or other major research sponsors' priorities in emerging scientific or technology fields in the area of cancer prevention, or cures for cancer;
- are matched with funds available by a private or nonprofit entity and institution or institutions of higher education;
- are collaborative between any combination of private and nonprofit entities, public or private agencies or institutions in this state, and public or private institutions outside this state;
- have a demonstrable economic development benefit to this state;
- expedite innovation and commercialization, attract, create, or expand private sector entities that will drive a substantial increase in high-quality jobs, and increase higher education applied science or Technology research capabilities; and
- address the goals of the Texas Cancer Plan.

**Product Development Research Grant Award Recommendations**

<b>Rank</b>	<b>Application ID</b>	<b>Mechanism</b>	<b>Score</b>	<b>Company</b>	<b>Project</b>	<b>Recommended Budget</b>
1	DP200081	TXCO	2.1	OncoNano Medicine	Image-guided Surgical Detection of Metastatic Disease to the Peritoneum, Lymph Nodes and Pleural Surfaces	\$9,965,273
2	DP200094	TXCO	2.4	ImmunoGenesis, Inc.	Cytoreductive bispecific PD-L1/PD-L2 antibodies active across immune “hot” and “cold” cancers	\$15,455,860

TXCO: Texas Company Product Development Awards



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 2020 AWARDS  
**DATE:** AUGUST 6, 2020

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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 First-Time, Tenure-Track Faculty Members
- Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards
- Core Facility Support Awards
- Early Clinical Investigator Awards
- High-Impact/High-Risk Research Awards
- Texas Company Product Development Research Awards
- Tobacco Control and Lung Cancer Screening
- Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

The following mechanisms also received applications during this award cycle; however, did not result in recommendations to the Oversight Committee for its August 19, 2020, meeting: Recruitment of Rising Stars, Evidence-Based Cancer Prevention Services, Company Relocation Product Development Awards; and Seed Awards for Product Development Research. 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.

Earlier in fiscal year 2020, the PIC unanimously voted to defer 13 award recommendations made by the Scientific Review Council to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer.

At its August 4, 2020, meeting, the PIC voted to recommend the 13 previously deferred award recommendations to the Oversight Committee. The mechanisms include 20.1 Individual Investigator Research Awards, 20.1 Individual Investigator Research Awards for Childhood and Adolescent Cancers, 20.1 Individual Investigator Research Awards for Clinical Translation, and 20.1 Individual Investigator Research Awards for Prevention and Early Detection. I certified these four mechanisms for the February 19, 2020, 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 20.10, 20.11 and 20.12, nine applications were received for the Recruitment of Established Investigators RFA, two applications were received in response to the Recruitment of Rising Stars RFA, and 18 applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA. One academic research recruitment application was administratively withdrawn prior to peer review. Two academic research recruitment applications were voluntarily withdrawn by the applicant; one application was withdrawn before the SRC meetings and one application was withdrawn after the SRC meetings.*

*In response to the academic, non-recruitment RFAs for Cycle 20.2, CPRIT received 149 applications. Four applications were administratively withdrawn prior to peer review and one application was voluntarily withdrawn by the applicant prior to peer review.*

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

*Product Development Research:*

*For Cycle 20.2, seven applications were received for the Texas Company Product Development Awards RFA, 12 applications were received for the Company Relocation Product Development Research Awards RFA, and nine applications were received for the Seed Awards for Product Development Research RFA.*

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

*Prevention:*

*For Cycle 20.2, six applications were received for the Evidence-Based Cancer Prevention Services RFA, four applications were received for the Tobacco Control and Lung Cancer Screening RFA, and eight applications were received for the Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations RFA.*

*All prevention 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 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, one academic research recruitment application was administratively withdrawn prior to peer review. Two academic research recruitment applications were voluntarily withdrawn by the applicant; one application was withdrawn before the SRC meetings and one application was withdrawn after the SRC meetings. Four academic, non-recruitment applications were administratively withdrawn prior to peer review and one application was voluntarily withdrawn by the applicant prior to peer review.*

Product Development Research:

*No applications were withdrawn during this cycle.*

Prevention:

*No applications were withdrawn during this cycle.*

**Peer Review:**

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

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

Academic Research:

*For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. One conflict of interest was declared by the SRC for Recruitment Cycle 20.10. For Recruitment Cycles 20.11 and 20.12, no conflicts of interest were declared.*

*I reviewed and confirmed that the post review conflict of interest statements were signed by the six SRC members that attended the 20.10 Recruitment Review Panel meeting on May 14, 2020, the*

*seven SRC members that attended the 20.11 Recruitment Review Panel on June 11, 2020, the seven SRC members that attended the 20.12 Recruitment Review Panel on July 9, 2020.*

*Academic research applications (non-recruitment) are reviewed by peer review panels and recommended to the SRC. 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 9, 2020.*

*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 (or video teleconference) 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 seven PDRC members and three expert reviewers that attended the Due Diligence meeting on July 6, 2020.*

*Prevention:*

*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 13 peer review members for Prevention Panel 1 on May 12, 2020 and the three PRC members that attended the PRC meeting on June 15, 2020.*

### **Programmatic Review:**

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

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

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

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

### Academic Research:

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

*An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score. 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 9, 2020 to consider 28 applications recommended by the peer review panels following their meetings held on April 17-April 23, 2020. After review of these applications, the SRC recommended all 28 applications to the Program Integration Committee (PIC) for consideration.*

*I note that on July 7, 2020, Wayne Robert's, CPRIT's Chief Executive Officer, granted Dr. Jim Willson, CPRIT's Chief Scientific Officer, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). The waiver is applicable to communications regarding application RR200081.*

*Product Development Research:*

*For Cycle 20.2, four applications went through due diligence. The PDRC met on July 6, 2020, and after review and discussion recommended two applications to the PIC for consideration.*

*I note that on May 11, 2020, Mr. Roberts, CPRIT's Chief Executive Officer, granted members of the PDRC a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" Texas Company Product Development Awards packet.*

*Prevention:*

*Twelve applications were recommended by the peer review panel following their meeting on May 12, 2020; however, the PRC Chair determined that as a result of score cutoff and available funding, the Prevention Review Council (PRC) would only consider eight application at the PRC meeting on June 15, 2020. After review and discussion of these applications, the PRC recommended all eight applications to the PIC for consideration.*

*I note that on February 25, 2020, Mr. Roberts granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet for each of the prevention mechanisms recommended by the PIC.*

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

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

*I attended the August 4, 2020 PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. Four of the five PIC members were present for the meeting; Dr. John Hellerstedt, Commissioner of the Texas Department of State Health Services, was unable to attend the meeting.*

*The PIC considered 62 applications that were recommended by the three review councils; 13 of these applications were deferred by the PIC at the February 4, 2020, meeting. The PIC voted to recommend all 62 applications to move forward to the Oversight Committee. The PIC's recommendation of DP200081 includes a contingency. The Oversight Committee approved a previous grant award (DP190066) for this applicant, OncoNano Medicine, on August 21, 2019. As of August 4, 2020, the date of the PIC meeting, the DP190066 grant contract has not yet been executed. Therefore, the PIC recommended this current grant application, DP200081, contingent on the successful execution of the prior award contract.*

*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 – FEBRUARY 2020 AWARDS  
**DATE:** FEBRUARY 6, 2020

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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 Prevention and Early Detection
- Individual Investigator Research Awards for Clinical Translation
- Seed Awards for Product Development Research
- Tobacco Control and Lung Cancer Screening
- Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations
- Evidence-Based Cancer Prevention Services
- Dissemination of CPRIT-Funded Cancer Control Interventions

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

research, product development research, and prevention award recommendations for the Oversight Committee's consideration.

### **Background:**

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

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

### **No Prohibited Donations:**

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

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

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

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

Academic Research:

*For Recruitment Cycles 20.4-5 and 20.6, one application was received for the Recruitment of Established Investigators RFA, three applications were received in response to the Recruitment of Rising Stars RFA, and seven applications were received in response to the Recruitment of First-Time, Tenure Track Faculty members RFA.*

*In response to the academic, non-recruitment RFAs for Cycle 20.1, CPRIT received 387 applications. Ten applications were administratively withdrawn prior to panel assignment and one application was administratively withdrawn after panel assignment but prior to peer review. In addition, nine applications were withdrawn by the applicant prior to Peer Review and one application was withdrawn by the applicant after Peer Review but prior to the Scientific Review Council (SRC) meeting.*

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

Product Development Research:

*For Cycle 20.1, eight applications were received for the Texas Company Product Development Awards RFA, 16 applications were received for the Company Relocation Product Development Research Awards RFA, and 18 applications were received for the Seed Awards for Product Development Research RFA. Two applications were administratively withdrawn and one application was withdrawn by the applicant.*

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

*Prevention:*

*For Cycle 20.1, 14 applications were received for the Evidence-Based Cancer Prevention Services RFA, five applications were received for the Tobacco Control and Lung Cancer Screening RFA, 11 applications were received for the Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations RFA, and five applications were received for the Dissemination of CPRIT-Funded Cancer Control Interventions RFA. Two applications was administratively withdrawn prior to peer review.*

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

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

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

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

*Academic Research:*

*Ten applications were administratively withdrawn prior to panel assignment and one application was administratively withdrawn after panel assignment but prior to peer review. In addition, nine applications were withdrawn by the applicant prior to Peer Review and one application was withdrawn by the applicant after Peer Review but prior to the Scientific Review Council (SRC) meeting.*

*The four non-recruitment mechanisms went through a preliminary evaluation process as allowed by T.A.C. § 703.6(e)(1). Based on the scores of the preliminary evaluation, 149 academic, non-recruitment applications did not move forward to the full review phase. The remaining 220 academic research, non-recruitment applications were recommended for full review.*

*Product Development Research:*

*Three applications were withdrawn prior to peer review; two applications were administratively withdrawn and one application was withdrawn by the applicant.*

*Prevention:*

*Two applications was administratively withdrawn prior to peer review.*

**Peer Review:**

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

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

*Academic Research:*

*For the Recruitment Awards, the applications are reviewed by the Scientific Review Council (SRC), which assigns two members of the SRC to be primary reviewers. I reviewed the supporting documentation, such as the sign-out sheets, third-party observer reports, and post-review peer reviewer statements. Sign out sheets are used to document when a reviewer with a conflict of interest associated with a particular application leaves the room (or disengages from the conference call) during the discussion and scoring of the application. One conflict of interest was declared for Cycle 20.4-5 and one conflict of interest was declared for Cycle 20.6.*

*I reviewed and confirmed that the post review conflict of interest statements were signed by the six SRC members that attended the 20.4-5 Recruitment Review Panel meeting on December 12, 2019, the five SRC members that attended the 20.6 Recruitment Review Panel on January 16, 2020.*

*Academic research applications (non-recruitment) are reviewed by peer review panels and recommended to the Scientific Review Council. As documented by GDIT, reviewers with conflicts of interest did not participate in review of those applications. I reviewed supporting documentation,*

*such as conflict of interest statements (COIs), third-party observer reports, and sign out sheets. All declared COIs left the room or disengaged from the conference call and did not participate in the discussion of relevant applications.*

*I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each review panel as well as the six SRC members that attended the Review Council meeting on December 12, 2019.*

*Product Development Research:*

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

*I also reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for each panel as well as the six PDRC members and eight expert reviewers that attended the Due Diligence meeting on January 13, 2020.*

*Prevention:*

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

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

*I reviewed and confirmed that the post review conflict of interest statements were signed by peer review members for Prevention Panel 1 on December 10-11, 2019, and the Dissemination of CPRIT-Funded Cancer Control Interventions Panel on January 17, 2020, as well as the three PRC members that attended the PRC meeting on January 17, 2020.*

## **Programmatic Review:**

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

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

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

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

### Academic Research:

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

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

*The SRC met on December 12, 2019, to consider 49 applications recommended by the peer review panels following their meetings held between October 17-24, 2019. After review and discussion of these applications, the SRC recommended all 49 applications to the Program Integration Committee (PIC) for consideration.*

### Product Development Research:

*For Cycle 20.1, seven applications went through due diligence and four of those applications were recommended by the PDRC to the PIC at the Due Diligence Meeting on January 13, 2020. It should be noted that the PDRC took no action on one application from the Company Relocation mechanism. The decision reflects the PDRC's need for additional information from the applicant prior to making a final award recommendation. The PDRC is anticipated to provide an award recommendation, if any, regarding this pending application for either the May or August 2020 Oversight Committee meeting.*

*In the Product Development Review Council (PDRC) recommendation letter sent to the PIC and Oversight Committee chairs on January 24, 2020, two applications recommended by the PDRC were ranked ahead of applications with a more favorable score. As allowed in 25 T.A.C. § 703.6(d)(1), the PDRC's numerical rank order is substantially based on the final overall evaluation score, but also takes into consideration how well the grant application achieves program priorities and the overall program portfolio.*

*I note that on November 18, 2019, Mr. Roberts, CPRIT's Chief Executive Officer, granted members of the PDRC a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" Seed Awards for Product Development Research packet.*

*Prevention:*

*The Prevention Review Council (PRC) met on January 17, 2020 to consider 10 applications recommended by the peer review panels following their meetings held on December 10-11, 2019, and the Dissemination of CPRIT-Funded Cancer Control Interventions Panel on January 17, 2020. After review and discussion of these applications, the PRC recommended 10 applications to the Program Integration Committee (PIC) for consideration.*

*I note that on June 11, 2019, Mr. Roberts granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet for each of the prevention mechanisms recommended by the PIC.*

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

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

*I attended the February 4, 2020, PIC meeting as an observer and confirm that the PIC review process complied with CPRIT's statute and administrative rules. Four of the five PIC members were present for the meeting; Dr. John Hellerstedt, Commissioner of the Texas Department of State Health Services, was unable to attend the meeting.*

*The PIC considered 68 applications that were recommended by the three review councils. The Chief Scientific Officer recommended that action be deferred on 13 academic research until a later PIC meeting in FY20. The PIC unanimously voted to defer those 13 award recommendations: therefore, 55 applications were recommended to move forward to the Oversight Committee.*

*Dr. Willson declared a conflict of interest for two proposed awards to the University of Texas at Dallas, RP200021 and RP200233. Pursuant to the Texas Health & Safety Code Section 102.1062 conflict of interest waiver approved by the Oversight Committee at the November 2019 meeting, Dr. Willson presented the Individual Investigator Research Awards slate that included these two award recommendations but Dr. Willson abstained from voting on RP200021 and RP200233.*

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



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

August 13, 2020

Oversight Committee Members,

Pursuant to 25 T.A.C. § 703.7(j), I request that the Oversight Committee approve authority for CPRIT to advance grant funds upon execution of grant contracts for the two companies that the Oversight Committee will consider for product development grant awards at its August 19, 2020, meeting. The Program Integration Committee has recommended these companies for grant awards.

Although CPRIT disburses most grant funds pursuant to requests for reimbursement, CPRIT may disburse grant funds in advance payments consistent with the General Appropriations Act, Article IX, § 4.03(a). Typically, the grant amount to be paid in advance is based upon the project year budget or tranche amount. All grant recipients, including those that receive advance payment of grant funds, are required to submit quarterly financial status reports that are reviewed and approved by CPRIT's financial staff. The product development grant recipients must also certify that they have matching funds available to invest in the project prior to any disbursement of funds. Failure to submit the financial status reports on a timely basis or to certify matching funds will result in forfeiture of reimbursement for expenses for the quarter and may result in grant termination and repayment of grant funds.

Advance payment of grant funds is necessary because the projects proposed for grant awards involve preclinical work and/or clinical trials. The cost structure for this type of work is highly front loaded and service providers require substantial upfront payments. Advancing grant funds allows these projects to begin work as quickly as possible.

Sincerely,

A handwritten signature in black ink, appearing to read "Wayne Roberts".

Wayne Roberts  
CPRIT Chief Executive Officer



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 2**

***Collaborative Action Program to Reduce Liver Cancer  
Mortality in Texas: Investigator-Initiated Research  
Awards***

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**

**RFA R-20.2-CAP:RA**

**Collaborative Action Program to Reduce  
Liver Cancer Mortality in Texas:  
Investigator-Initiated Research Awards**

**Please also refer to the Instructions for Applicants document,  
which will be posted on October 16, 2019**

**Application Receipt Opening Date:** October 16, 2019

**Application Receipt Closing Date:** January 15, 2020

**FY 2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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## **RFA VERSION HISTORY**

Rev 08/26/19 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. PROGRAM DESCRIPTION

The goal of the **Collaborative Action Program to Reduce Liver Cancer Mortality in Texas** is to position Texas as a national leader in reversing the trajectory of liver cancer incidence.

Liver cancer, also known as hepatocellular cancer (HCC), is the fastest increasing lethal cancer in the United States, with an annual incidence that has tripled during the past 2 decades. The incidence of HCC is 3 times higher in men than women, and there are significant racial and ethnic differences in liver cancer occurrence.

Risk factors for liver cancer include viral hepatitis (hepatitis B virus and hepatitis C virus), nonalcoholic steatohepatitis (NASH), and alcoholic liver disease. Approximately 80% to 90% of HCCs occur in patients with underlying cirrhosis, making individuals with advanced cirrhosis at particularly high risk for developing HCC.

Texas is among states with the highest incidence of HCC with an annual incidence that is nearly double the national average. The rise is particularly virulent among Texans of Hispanic ethnicity living along the US-Mexican border where HCC incidence and related mortality is the highest in the nation. While the reasons for the increase in HCC among regional and/or racial and ethnic populations are not fully understood, HCC development has been linked to multiple risk factors including genetic predisposition and socioeconomic factors, but significant gaps remain in knowledge about the relationship between HCC in high-risk populations compared to non-Hispanic whites.

To address this challenge, CPRIT has funded a Collaborative Action Program Center, *Texas Collaborative Center for Hepatocellular Cancer (TeCH)*, at Baylor College of Medicine to promote interactions and collaboration among Texas hepatocellular cancer investigators and is reissuing an RFA for applications to support investigator-initiated research projects designed to understand the reasons for the increased incidence of HCC in Texas, to identify risk factors for cirrhosis and HCC, to identify biomarkers for HCC early detection, and to develop and implement prevention and early detection strategies.

### **3. AGREEMENT TO PARTICIPATE IN THE CPRIT TEXAS COLLABORATIVE CENTER FOR HEPATOCELLULAR CANCER (TECH)**

CAP Research Awardees (under this RFA) must agree to participate in the *Texas Collaborative Center for Hepatocellular Cancer (TeCH)* Steering Committee's meetings and initiatives and the TeCH program outreach and educational mission.

CPRIT encourages applicants to seek interaction with the TeCH to explore opportunities to build interactions. Please contact CPRIT's Academic Program Manager (see [section 13.2](#)) for contact information.

### **4. RESEARCH OBJECTIVES**

This RFA solicits applications for investigator-initiated research projects targeting research in areas identified as a significant priority in reducing liver cancer mortality in Texas, which include the following:

- To understand the increased incidence of HCC in Texas.
- To discover and validate biomarkers including imaging modalities of high risk for developing cirrhosis and its progress to HCC.
- To develop and implement prevention and early detection strategies for populations at risk for HCC.

Applications that propose research collaborations among multiple institutions, particularly those that involve different regions of Texas and/or access to different populations, are highly encouraged. As described in [section 9.4.1](#), CPRIT will look with special favor upon responses that include multiple Texas institutions with substantive roles.

**Examples of research projects that would be responsive to this RFA include projects to do the following:**

(1) Identify risk factors for HCC in Texas populations and predictors of high risk for progression of cirrhosis to HCC, including environmental and behavioral factors, genetic markers, and health disparities.

(2) Identify and validate biomarkers and/or imaging methods that will enhance the surveillance and better stratify patients with cirrhosis leading to detection of HCC at an early stage.

(3) Increase implementation of evidence-based interventions for the prevention and/or early detection of HCC among populations at high risk.

(4) Conduct health services research in populations at highest risk for developing cirrhosis and HCC designed to identify most effective ways to address the disparities (eg, through systems change, outreach, access) and delivery of early detection and preventive care.

**Examples of research projects that would not be considered responsive to this RFA include the following:**

(1) Basic research using laboratory and/or animal models designed to identify underlying mechanisms causing HCC ***are not responsive*** to this RFA and should be directed to other CPRIT mechanisms supporting basic discovery research.

(2) Basic and clinical research to discover or to evaluate HCC treatment ***are not responsive*** to this RFA and should be directed to other CPRIT mechanisms supporting basic discovery research or clinical translational research.

## **5. FUNDING INFORMATION**

CPRIT plans to make multiple awards in response to this RFA. Applicants may request a maximum of \$500,000 in total costs per year for 5 years. Exceptions to these limits may be requested if extremely well justified. Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs including diagnostic or interventional procedures associated with participation in a clinical trial and not considered routine patient care, and travel to scientific/technical meetings or collaborating institutions.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

## **6. ELIGIBILITY**

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant application is conducted.

- A PI may submit only 1 application under this RFA.
- A Co-PI is allowed and CPRIT is particularly interested in and will look with special favor upon responses to this RFA that include multiple Texas institutions with substantive roles.
- A PI may participate as a Co-PI on 1 or more applications as long as the applications are submitted by another Texas institution. A Co-PI may participate in only 1 application under this RFA except when the Co-PI is located at a separate Texas institution from the PI.
- An individual may serve as a PI on no more than 3 active CPRIT Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers MIRA Project Co-PIs equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be August 31, 2020).
- Collaborations are permitted and encouraged. Collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, and any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity) has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or

compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.

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

## 7. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted **once** and must follow all resubmission guidelines. More than 1 resubmission per application is not permitted.

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on October 16, 2019 and must be submitted by 4 PM central time on January 15, 2020. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### 8.1.1. Submission Deadline Extension

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

## 8.2. Application Components

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

### 8.2.1. Abstract and Significance (5,000 characters)

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

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Clearly address how the proposed project, if successful, will have a major impact on the trajectory of HCC in Texas. Highlight any collaborations that will involve multiple Texas institutions and/or diverse populations.

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the potential significance of the results, and the impact of the work on advancing the field of HCC research, early diagnosis, prevention, or treatment. The

information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson's summary. The layperson's summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

### **8.2.3. Goals and Objectives**

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

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

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

### **8.2.5. Resubmission Summary (2 pages)**

An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

### **8.2.6. Research Plan (10 pages)**

**Background:** Present the rationale behind the proposed project, emphasizing the pressing problem in HCC research that will be addressed. Discuss special resources and expertise that are available in support of the application. Describe interaction with PI of the Collaborative Action Center and impact on research plan.

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

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

### **8.2.7. Agreement to Participate in the Collaborative Action Program and Center (2 pages)**

State the intent to participate fully in the Collaborative Action Program and Center activities as defined in [section 3](#). In addition, describe any special resources (eg, access to special populations or geographic regions of the state) or expertise that the project and its key personnel will make available to the other research projects participating in the CAP program.

### **8.2.8. Human Subjects (2 pages)**

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

### **8.2.9. Publications/References**

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

### **8.2.10. Budget and Justification**

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

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

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at [www.cprit.texas.gov](http://www.cprit.texas.gov). So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award 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.
- The Principal Investigator is expected to attend CPRIT's Conference. CPRIT funds may be used to send up to 2 people to the conference.

### **8.2.11. Biographical Sketches (5 pages each)**

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI and the Co-PI (as required by the online application receipt system). In addition, up to 3 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

### **8.2.12. Current and Pending Support**

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

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

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

### **8.2.14. Previous Summary Statement**

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

**Applications that are missing 1 or more of these components; exceed the specified page, word, or budget limits; or that do not meet the eligibility requirements listed above will be administratively withdrawn.**

## **8.3. Formatting Instructions**

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Language:** English
- **Document Format:** PDF only
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point)
- **Line Spacing:** Single
- **Page Size:** 8.5 x 11 inches
- **Margins:** 0.75 inch, all directions
- **Color and High-Resolution Images:** Images, graphs, figures, and other illustrations must be submitted as part of the appropriate submitted document. Applicants should

include text to explain illustrations that may be difficult to interpret when printed in black and white.

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

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

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

## 9. APPLICATION REVIEW

### 9.1. Preliminary Evaluation

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

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

**only modest contributions to the field of HCC research and will be excluded from further peer review.**

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

## **9.2. Full Peer Review Process**

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

The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

## **9.3. Confidentiality of Review**

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

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

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Peer Review Panel members and SRC 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, a Scientific Review Panel member, or a SRC member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Research Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application.

The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

#### **9.4. Review Criteria**

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

### 9.4.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. **Projects that propose collaborations that include multiple (separate) Texas institutions with substantive roles and those that provide access to unique populations are particularly responsive to this RFA.** Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

**Significance and Impact:** Will the results of this research, if successful, significantly change the research of others or the opportunities for better HCC prevention or diagnosis? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight?

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

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

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

### 9.4.2. Secondary Criteria

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

Secondary criteria include the following:

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

**Human Subjects:** If human biological samples are included in the proposed research, is the human subjects plan adequate and sufficiently detailed? Note that certification of approval by the institutional IRB will be required before funding can occur.

**Budget:** Is the budget appropriate for the proposed work?

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

## 10. KEY DATES

### RFA

RFA release August 26, 2019

### Application

Online application opens October 16, 2019, 7 AM central time

Application due January 15, 2020, 4 PM central time

Application review January 2020 to August 2020

### Award

Award notification August 19, 2020

Anticipated start date August 31, 2020

## 11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [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 documented in the grant award contract and address plans for the upcoming year. In addition, fiscal reporting and human studies reporting will be required as appropriate.

CPRIT will review annual progress reports and continuation of funding is contingent upon the timely receipt of these reports and documentation of sufficient progress toward completing project goals. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of award contract. Forms and instructions will be made available at [www.cprit.texas.gov](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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the grant recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#) for specific requirements regarding

demonstration of available funding. The demonstration of available matching funds must be made at the time the award contract is executed, and annually thereafter, not when the application is submitted.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

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

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

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](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)**  
**20.2 Academic Research Council Basic Cancer Research - 2**  
**(20.2 ARC BCR-2)**  
**Observation Report**

Report No. 2020-04-17 20.2\_ARC\_BCR-2  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Basic Cancer Research - 2  
(20.2\_ARC\_BCR-2)  
Panel Date: 04-17-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Basic Cancer Research - 2 (20.2\_ARC\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted via teleconference on April 17, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Ten (10) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Eight (8)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Five (5)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: Two (2)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with the COI was not discussed.

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**

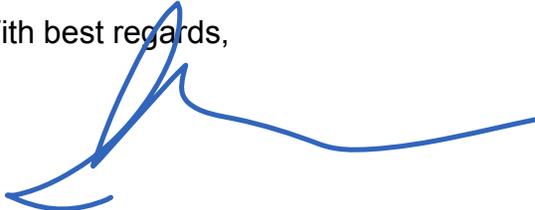
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**20.2 Academic Research Council Cancer Prevention**  
**Research (20.2 ARC CPR)**  
**Observation Report**

Report No. 2020-04-20 20.2\_ARC\_CPR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Prevention Research  
(20.2\_ARC\_CPR)  
Panel Date: 04-20-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Prevention Research (20.2\_ARC\_CPR) meeting. The meeting was chaired by Nagi Kumar and Electra Paskett and conducted via teleconference on April 20, 2020. Reviewer William Barlow acted as Chair for one application.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed and ten (10) were not discussed
- Panelists: Two (2) panel chairs, twelve (12) expert reviewers, and two (2) advocate reviewers. One expert reviewer acted as panel chair for one application.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were two (2) Conflicts of Interest (COI) identified prior to and/or during the meeting. One COI was excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

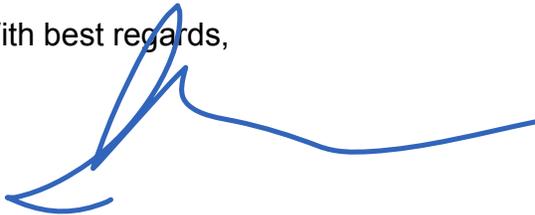
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**20.2 Academic Research Council Imaging Technology and**  
**Informatics (20.2 ARC ITI)**  
**Observation Report**

Report No. 2020-04-21 20.2\_ARC\_ITI  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI)  
Panel Date: 04-21-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI) meeting. The meeting was chaired by Martin Pomper and Anna Wu and conducted via teleconference on April 21, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and fourteen (14) were not discussed
- Panelists: Two (2) panel chairs, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were four (4) Conflicts of Interest (COI) identified prior to and/or during the meeting. Three COIs were excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

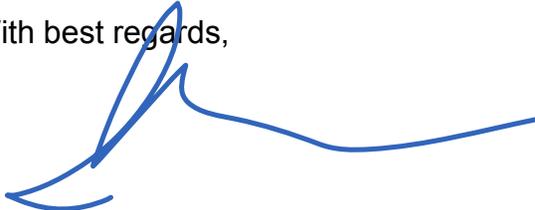
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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.

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With best regards,

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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**20.2 Academic Research Council Cancer Biology**  
**(20.2 ARC CB)**  
**Observation Report**

Report No. 2020-04-22 20.2\_ARC\_CB  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB)  
Panel Date: 04-22-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB) meeting. The meeting was chaired by Peter Jones and conducted via teleconference on April 22, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-two (22) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflicts of Interest (COI) identified prior to and/or during the meeting. The COI was excluded from discussions concerning the application 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**

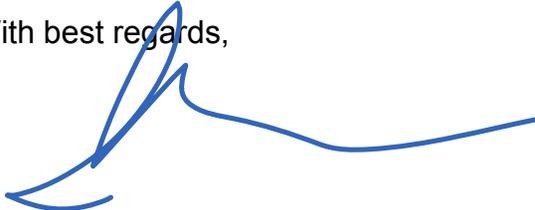
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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,

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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**20.2 Academic Research Council Clinical and Translational**  
**Cancer Research (20.2 ARC CTCR)**  
**Observation Report**

Report No. 2020-04-23 20.2\_ARC\_CTCR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Clinical and Translational Cancer  
Research (20.2\_ARC\_CTCR)  
Panel Date: 04-23-2020  
Report Date: 05-22-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Clinical and Translational Cancer Research (20.2\_ARC\_CTCR) meeting. The meeting was chaired by Margaret Tempero and conducted via teleconference on April 23, 2020.

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

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Sixteen (16) applications were discussed and fifteen (15) were not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers, and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with a COI was not discussed.

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**

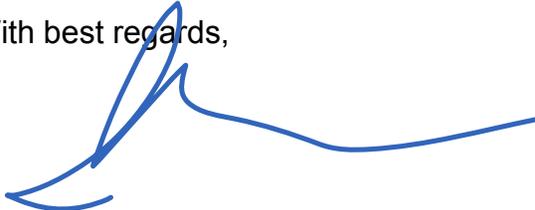
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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,

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

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



## **Cancer Prevention and Research Institute of Texas (CPRIT)** **Scientific Review Council 20.2 (SRC 20.2) Observation Report**

Report No. 2020-07-09 SRC 20.2  
Program Name: Academic Research  
Panel Name: Scientific Review Council 20.2 (SRC\_20.2)  
Panel Date: 07-09-2020  
Report Date: 07-15-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Scientific Review Council 20.2 (SRC\_20.2) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on July 9, 2020.

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-eight (28) applications were reviewed
- Panelists: One (1) panel chair, five (5) expert reviewers and one additional reviewer was present but did not participate
- 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) Conflicts of Interests (COIs) identified prior to and/or during the meeting.

A list of all attendees and a sign-in log were provided by GDIT to aid in the observation of the COI procedures and objectives. BFS compiled informational materials from previous meetings to determine applications reviewed. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

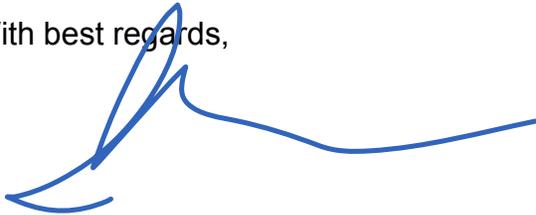
## **CONCLUSION**

In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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 read 'Mara Ash', with a long horizontal flourish 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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.2 Applications

#### Academic Research Cycle 20.2 Awards Announced at August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.2 include *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards*; *Early Clinical Investigator Award*; *Core Facility Support Awards*; and *High-Impact/High-Risk Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200604	Robert Chapkin	Texas AgriLife Research	Eric Fearon
RP200614	Kevin Pinney	Baylor University	Martin Pomper
<b>Applications not considered by the PIC or Oversight Committee:</b>			
RP200570*	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP200524*	Manal Hassan	The University of Texas M. D. Anderson Cancer Center	Alexander Parker
RP200537	Aaron Thrift	Baylor College of Medicine	Christopher Haiman
RP200628*	Hasan Zaki	The University of Texas Southwestern Medical Center	Victor Engelhard
RP200538*	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP200607	Han Xiao	Rice University	Jason Lewis
RP200634	Georgios Alexandrakis	The University of Texas at Arlington	Arion- Xenofon Chatziioannou

\* Not discussed

# **De-Identified Overall Evaluation Scores**

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# Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards

Academic Research Cycle 20.2

Application ID	Final Overall Evaluation Score
RP200554*	1.2
RP200633*	2.8
RP200537*	2.9
fa	3.4
fb	3.8
fc	3.8
fd	4.3
fe	4.3
ff	4.5
fg	4.6
fh	4.7
fi	4.7
fj	5.0
fk	6.3
fl	6.3

\* Recommended for CPRIT award

20.2 Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards

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

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**Ludwig Institute for  
Cancer Research Ltd**

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
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July 16, 2020

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 research grant recommendations for Collaborative Action Plan: Research Awards (CAP:RA), Core Facility Support Awards (CFSA), Early Clinical Investigator Awards (ECI), High-Impact/High Risk Awards (HIHR).

The SRC met on July 9, 2020 to consider the applications recommended by the peer review panels following their meetings that were held April 17, 2020 – April 23, 2020.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$32,465,430.

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

Sincerely yours,



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

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200668	CFSA	1.1	The Combinatorial Drug Discovery Program (CDDP)	Davies, Peter	Texas A&M University System Health Science Center	\$3,989,892
2	RP200554	CAP-RA	1.2	A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality	Singal, Amit	The University of Texas Southwestern Medical Center	\$2,499,995
3	RP200584	ECI	1.4	CPRIT Early-Career Clinical Investigator Award for Applicant: Premal Lulla, MD	Dickinson, Mary	Baylor College of Medicine	\$1,500,000
4	RP200619	CFSA	1.8	CPRIT RNA Therapeutics Core	Cooke, John	The Methodist Hospital Research Institute	\$3,999,995
5	RP200549	ECI	1.8	Enhancing Neoantigen Expression and Immune Checkpoint Inhibitor Response Using Splicing Modulators in Hepatocellular Carcinoma	Arteaga, Carlos	The University of Texas Southwestern Medical Center	\$1,499,998
6	RP200669	ECI	1.8	CPRIT Early Clinical Investigator Award: Chad Tang	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,499,996
7	RP200532	HIHRRRA	1.9	Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Antitumor Immunity	Lissanu Deribe, Yonathan	The University of Texas M. D. Anderson Cancer Center	\$249,992

8	RP200604	HIHRRRA	2.0	Targeting Plasma Membrane Spatial Dynamics to Suppress Obesity-Induced Colon Cancer	Chapkin, Robert	Texas AgriLife Research	\$250,000
9	RP200520	HIHRRRA	2.1	Developing Single-Cell RNAseq-Based Genetic Screens to Identify Novel Targets for Cancer Immunotherapy	Peng, Weiyi	University of Houston	\$250,000
10	RP200573	HIHRRRA	2.2	Low-Cost Nonconventional Ultralow-Field MRI Scanner for the Next-Generation MR-Guided Radiation Therapy	Jia, Xun	The University of Texas Southwestern Medical Center	\$250,000
11	RP200504	CFSA	2.3	Comprehensive Cancer Epigenomics Core Facility	Chen, Rui	Baylor College of Medicine	\$3,999,943
12	RP200670	ECI	2.5	Early Clinical Investigator Award: Nicolas Palaskas	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,491,551
13	RP200614	HIHRRRA	2.5	Novel Betabody-Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads	Pinney, Kevin	Baylor University	\$250,000
14	RP200655	HIHRRRA	2.5	A Novel Organoid Platform to Modulate Human Neural Networks Integrated With Glioblastoma Stem Cells	Krencik, Robert	The Methodist Hospital Research Institute	\$249,372

15	RP200574	HIHRRRA	2.6	Targeting B Cells to Enhance Responses to Immune Checkpoint Blockade	Wargo, Jennifer	The University of Texas M. D. Anderson Cancer Center	\$249,755
16	RP200509	HIHRRRA	2.7	Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Nonalcoholic Fatty Livers	Tsai, Robert	Texas A&M University System Health Science Center	\$250,000
17	RP200595	HIHRRRA	2.7	SERBP1, Epigenetic Regulation and Glioblastoma Targeting	Penalva, Luiz	The University of Texas Health Science Center at San Antonio	\$249,968
18	RP200633	CAP-RA	2.8	Reducing Disparities in the Risk of Hepatocellular Cancer	KANWAL, FASIHA	Baylor College of Medicine	\$2,434,495
19	RP200537	CAP-RA	2.9	Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics	Thrift, Aaron	Baylor College of Medicine	\$2,473,314
20	RP200657	HIHRRRA	2.9	Screening for Melanoma Genes Using Natural Hybrid Incompatibilities	Schartl, Manfred	Texas State University - San Marcos	\$248,458
21	RP200617	HIHRRRA	2.9	Pathological Role of Neuronal Cell Cycle Reentry in the Development of Chemotherapy-Induced Peripheral Neuropathy	Lee, Hyoung-gon	The University of Texas at San Antonio	\$250,000
22	RP200650	HIHRRRA	2.9	Characterization of Salmonella Tumor-Targeting Mechanisms and Oncolytic Potential	Kenney, Linda	The University of Texas Medical Branch at Galveston	\$250,000

23	RP200612	HIHRRRA	3.1	Elucidating Premetastatic Niches at Single-Cell Resolution	Giancotti, Filippo	The University of Texas M. D. Anderson Cancer Center	\$249,996
24	RP200620	HIHRRRA	3.2	Targeting Fatty Acid Synthesis in NAFLD-Related HCC	Dong, Bingning	Baylor College of Medicine	\$250,000
25	RP200615	HIHRRRA	3.4	Small RNA Nanovector-Based Targeted Immunotherapy for Glioblastoma	Lee, Tae Jin	The University of Texas Health Science Center at Houston	\$250,000
26	RP200572	CFSA	3.6	From Whole-Animal Imaging to Superresolution Microscopy: An Imaging Core for the TTUHSC Campus at Amarillo	Bickel, Ulrich	Texas Tech University Health Sciences Center	\$2,831,213
27	RP200593	HIHRRRA	3.6	High-Throughput Nondestructive Enumeration and Characterization of CTCs in Whole Blood by a Thin Film "Tactile" Microfluidics and Holographic Interferometry	Sheng, Jian	Texas A&M University - Corpus Christi	\$247,703
28	RP200526	HIHRRRA	3.7	Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma	Zhu, Jay-Jiguang	The University of Texas Health Science Center at Houston	\$249,794



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 2**  
*Core Facility Support Awards*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA R-20.2-CFSA**

**Core Facility Support Awards**

**Please also refer to the Instructions for Applicants document,  
which will be posted on October 16, 2019**

Applications for this award mechanism are subject to institutional limits.  
Applicants are advised to consult with their institution's  
Office of Research and Sponsored Programs (or equivalent).

**Application Receipt Opening Date:** October 16, 2019

**Application Receipt Closing Date:** January 15, 2020

**FY2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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**RFA VERSION HISTORY**

Rev 08/26/19 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

Core Facility Support Awards seek to facilitate the development or improvement of core facilities that will provide valuable services to support and enhance scientifically meritorious cancer research projects. A user group of Texas-based investigators must be identified, each of whom should have supported cancer research projects that will make use of the requested facility. This requirement is not intended to exclude early-career-stage investigators who have not yet secured peer-reviewed grant support. Successful applicants should be working in a research environment capable of supporting potentially high-impact cancer studies. **CPRIT is particularly interested in supporting core facilities that provide enabling services to cancer investigators from multiple Texas institutions and that address CPRIT Program Priorities.**

## 3. RESEARCH OBJECTIVES

CPRIT will foster cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research. This RFA solicits applications from institutions to establish or enhance core facilities (laboratory, clinical, population-based, or computer-based) that will directly support cancer research programs to advance knowledge of the causes, prevention, and/or treatment of cancer or improve quality of life for patients with and survivors of cancer.

CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to survivorship. To fulfill this vision, applications may address any topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, cure, or quality of life. This award provides cancer researchers access to appropriate research infrastructure, instrumentation, and technical expertise necessary to achieve their research objectives. A wide variety of facilities can be supported, including, but not limited to, chemistry, high-throughput screening, biomedical imaging, proteomics, protein structure, molecular biology, genomics, metabolomics, animal physiology/metabolism, cell sorting, bioengineering, clinical research support, bioinformatics, and the like. Funds may be requested to develop a new facility or to enhance the capabilities of an existing facility that will directly support and impact cancer research programs at the institution and in the region. CPRIT will look with special favor on applications that demonstrate on the development of core facilities that serve multi-institutions.

#### **4. FUNDING INFORMATION**

The maximum duration for this award mechanism is 5 years. Applicants may request a maximum of \$4,000,000 in total costs. Exceptions to these limits may be granted, but only if exceptionally well justified. Allowable expenses include the cost of instruments (must be expended in the first 2 years), installation and/or necessary renovation expenses in the first year (installation/renovation expenses not to exceed 10% of the total first-year request), and maintenance/service contracts.

Installation/renovation expenses can be requested in the first year only. Equipment must be purchased within the first 2 years. In addition, applicants may request salary support and fringe benefits for the facility director, data analysts, and technical staff; travel to scientific/technical meetings or collaborating institutions is also an allowable expense for these individuals. Note all international travel must receive prior approval by CPRIT. All of these costs and expenses must be prorated for direct use in cancer research efforts. Also allowable are funds to support the use of the facility by qualified cancer research investigators for relevant projects (research supplies and services, clinical research costs, etc). Institutions must describe and justify the process to be used to disburse funds to support use of the facility by cancer investigators. Finally, some fraction of available funds may be used by the facility director for development of new or improved approaches to technical challenges. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

#### **5. ELIGIBILITY**

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism.
- A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The Principal Investigator (PI) must be the director of the facility and must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted. The PI should also hold a faculty position, preferably at the level of associate or full professor or the equivalent.

- This award must be directed by the PI. Co-PIs are not permitted.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds. In no event shall equipment purchased under this award leave the State of Texas.
- **An institution may submit only 1 application (1 new, 1 renewal, or 1 resubmission) under this RFA during this funding cycle.**
- For purposes of this RFA, an institution is defined as that component of a university system that has a geographically distinct campus.
- Academic institutions and health science centers that are components of the same university system and share a contiguous or near-contiguous campus are eligible to submit a single application.
- A PI may only resubmit an application that was previously not funded once (see [section 6](#)).
- Support for only 1 facility may be requested per application. Collaborative applications among institutions are permitted and encouraged. However, such collaboration must not be used as a pretext for supporting more than 1 facility at a given institution. Further, applicants must not attempt to assemble illogical technical combinations and capabilities under one roof. Examples of illogical combinations would include protein mass spectrometry with DNA sequencing or light microscopy with magnetic resonance imaging.
- The coherence of the facility and the ability of the PI/facility director to oversee all of the facility's operations will be critical components of the review process. If support is requested for an existing facility, applicants must make it clear how CPRIT support will enhance its capabilities and improve access for cancer investigators rather than simply replace ongoing institutional support.
- An individual may serve as a PI on no more than 3 active Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant

maximum; however, CPRIT considers project leaders on a MIRA award equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be 8/31/20).

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

## 6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted **once** and must follow all resubmission guidelines. More than 1 resubmission per application is not permitted.

## 7. RENEWAL POLICY

Renewal applications for existing Core Facility Support Awards that are scheduled to end in FY 2020 will be accepted in response to this RFA.

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

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

Applications will be accepted beginning at 7 AM central time on October 16, 2019 and must be submitted by 4 PM central time on January 15, 2020. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

#### 8.1.1. Submission Deadline Extension

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

### 8.2. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *IFA* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more

components or do not meet the eligibility requirements listed in [section 5](#) will be administratively rejected without review.

### **8.2.1. Abstract and Significance (5,000 characters)**

Clearly explain the proposed program, including a summary of the facility to be developed, an outline of the goals of the research projects that will be supported, and an overview of institutional infrastructure and commitment. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the core facility plan. Clearly address how the proposed project, if successful, will have a major impact on cancer.

**Note:** It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem, that better diagnostic and therapeutic approaches are needed urgently, or that the type of cancer of interest to the PI is important, vexing, or deadly).

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

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding.

Do not include any proprietary information in the layperson's summary. The layperson's summary will also be used by advocate reviewers ([section 9.1](#)) in evaluating the significance and impact of the proposed work.

### **8.2.3. Goals and Objectives**

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

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

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

#### **8.2.5. Institutional Support (2 pages)**

Each application must be accompanied by a strong letter of institutional support from the president or provost or equivalent indicating commitment to the program and certifying that this is the sole application submitted by this institution in response to this RFA. Furthermore, the letter should indicate any support of the facility for activities not related to cancer research. The letter should address the institutional oversight ensuring that the facility will be operated in a superior fashion and discussing how this will be ascertained.

#### **8.2.6. Resubmission Summary (1 page)**

An application previously submitted to CPRIT but not funded may be resubmitted **once** after careful consideration of the reasons for lack of prior success. Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

#### **8.2.7. Renewal Summary (2 pages)**

Applicants preparing a renewal of a CPRIT-funded core facility must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Peer-reviewed grants, publications, and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

#### **8.2.8. Core Facility Plan (5 pages)**

**Background:** Present the rationale and need for the facility, emphasizing the pressing problems in cancer research that will be addressed. Address how the proposed facility does not duplicate services provided by existing facilities. Address how the proposed facility addresses CPRIT priorities.

**Instrument Details:** Provide details of the equipment/instruments, if any, that will be acquired.

**Technical Expertise:** Describe the qualifications of the facility director and other key personnel that make them suitable to oversee the establishment and operations of the facility.

**Administrative Plan:** Clearly describe the plan under which the operation, sharing, time allocation, and maintenance of the facility will be administered. Discuss in detail the plan for cost recovery and charge backs for core services. If a cost recovery plan is not included in the administrative plan, provide strong justification for its absence. Discuss if funds will be allocated to support the use of the facility by qualified cancer research investigators and describe the process to be used to disburse funds to support use of the facility by these cancer investigators. If some fraction of available funds is to be used by the facility director for development of new or improved approaches to technical challenges, discuss the process to identify and evaluate such development projects. Discuss whether cancer researchers from other Texas academic institutions or industry scientists have access to the facility and the terms for such access.

**Training Plan:** Describe the plan to train users to use the facility and to evaluate the results obtained.

**Sustainability:** Describe in detail the plans for continuation of the core facility service at the conclusion of the CPRIT award.

### **8.2.9. Documentation that the proposed core facility does not duplicate existing services (2 pages)**

In this section provide a comprehensive list of existing cores or facilities in Texas that offer researchers access to technology and services similar to that proposed in this application. Explain why the proposed core is not duplicative of these and is required to support the research of the users of the new core proposed in this application.

### **8.2.10. Vertebrate Animals and/or Human Subjects (2 pages)**

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

### 8.2.11. Publications/References

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

### 8.2.12. Budget and Justification

Provide a compelling and clear justification of the budget, demonstrating need for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request. Poorly justified requests of this type will likely have a negative impact on the overall evaluation of the application.

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

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit **must be specifically approved by CPRIT**. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at [www.cprit.texas.gov](http://www.cprit.texas.gov). So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be administratively withdrawn.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award 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.

- The Principal Investigator is expected to attend CPRIT's Conference. CPRIT funds may be used to send up to 2 people to the conference.

### **8.2.13. User Group (8 pages)**

Provide concise descriptions of the research projects of major users of the facility. Provide a tabular summary of all users of the requested facility. List the names of all researchers, their academic appointment and affiliation, include user grant funded award data (project title(s)/number(s), award grant ID, award duration), a brief description of the project(s), and approximate percentage use of the facility for direct use in cancer research efforts. Discuss whether cancer researchers from other Texas academic institutions or industry scientists have access to the facility and the terms for such access. CPRIT will look with special favor on the development of core facilities that serve multi-institutions.

### **8.2.14. Biographical Sketches (5 pages each)**

The PI should provide a biographical sketch that describes his/her education and training, professional experience, awards and honors, and publications relevant to cancer research.

A biographical sketch must be provided for the PI (as required by the online application receipt system). Up to 5 additional biographical sketches for key personnel from the user group may be provided. Each biographical sketch must not exceed 5 pages.

### **8.2.15. Current and Pending Support**

State the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI must be provided.

### **8.2.16. Institutional/Collaborator Support and/or Other Certification (4 pages)**

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

### **8.2.17. Previous Summary Statement**

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

**Applications that are missing 1 or more of these components; exceed the specified page, word, or budget limits; or that do not meet the eligibility requirements listed above will be administratively withdrawn.**

## **8.3. Formatting Instructions**

Formatting guidelines for all submitted CPRIT applications are as follows:

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

An example is included below; however, other citation styles meeting these parameters are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

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

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

## 9. APPLICATION REVIEW

### 9.1. Review Process Overview

All eligible applications will be evaluated using a 2-stage peer review process: (1) Peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council (SRC). In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts, as well as advocate reviewers, using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT SRC based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by the SRC will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

## 9.2. Confidentiality of Review

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

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

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, [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, a Scientific Review Panel member, or an SRC member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period prior to the opening of CARS. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

### 9.3. Review Criteria

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

#### 9.3.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the request for the instrument/equipment. Primary criteria include the following:

**Justification of Need/Value:** Is the uniqueness of the facility addressed? Is the need for the facility justified? Is it necessary and appropriate for the research projects? Will the state-of-the-art facility directly support and impact cancer research programs at the institution and in the region? How will the availability of the facility offer incipient research projects by investigators at various career stages the opportunity to develop? Will the facility make the user group more competitive for external funding? Will the facility provide cancer researchers from other Texas academic institutions or industry scientists access to the facility? Does the facility address CPRIT priorities?

**Quality and Significance of research projects supported:** Does the facility support a significant number of different, independently funded users? Are the projects at the forefront of cancer research? Are the projects of significance in reducing cancer incidence, morbidity, or mortality?

**Technical Expertise:** Is there sufficient technical expertise for optimal use of the facility? How well qualified is the user group to take optimal advantage of the facility and evaluate the research results for the proposed projects? How will the facility be maintained? Is there a satisfactory training plan for new users?

**Administration:** Is there assurance that the facility will be managed and operated in a superior fashion? To whom does the facility director report? Is that person committed to appropriate

oversight (a letter of commitment should be submitted)? Is there an adequate plan for the management of the facility, including an appropriate system for charging for services and subsidy of user fees for specific cancer-related projects and individuals (especially early-career-stage investigators)? How will facility time be allocated among the projects? Have biosafety issues been addressed? Are there criteria and is there a mechanism for prioritization of user requests? Are there appropriate advisory committees?

**Institutional Commitment:** Is there clear institutional commitment for support of the facility for cancer research? Has the host institution provided an appropriate site for the facility?

### 9.3.2. Secondary Criteria

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

Secondary criteria include the following:

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

**Vertebrate Animals and/or Human Subjects:** If vertebrate animals and/or human biological samples are included in the proposed research, is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed? Note that certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

**Budget:** Is the budget appropriate for the proposed work?

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

## 10. KEY DATES

### RFA

RFA release August 26, 2019

### Application

Online application opens October 16, 2019, 7 AM central time

Application due January 15, 2020, 4 PM central time

Application review January 2020 to August 2020

### Award

Award notification August 19, 2020

Anticipated start date August 31, 2020

## 11. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [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 documented in the grant award contract 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 will review annual progress reports and continuation of funding is contingent upon the timely receipt of these reports and documentation of sufficient progress toward completing project goals. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of award contract. Forms and instructions will be made available at [www.cprit.texas.gov](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 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 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 any other funding opportunity, 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)**  
**20.2 Academic Research Council Basic Cancer Research - 2**  
**(20.2 ARC BCR-2)**  
**Observation Report**

Report No. 2020-04-17 20.2\_ARC\_BCR-2  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Basic Cancer Research - 2  
(20.2\_ARC\_BCR-2)  
Panel Date: 04-17-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Basic Cancer Research - 2 (20.2\_ARC\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted via teleconference on April 17, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Ten (10) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Eight (8)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Five (5)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: Two (2)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with the COI was not discussed.

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**

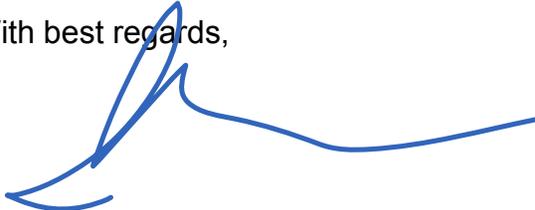
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**20.2 Academic Research Council Cancer Prevention**  
**Research (20.2 ARC CPR)**  
**Observation Report**

Report No. 2020-04-20 20.2\_ARC\_CPR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Prevention Research  
(20.2\_ARC\_CPR)  
Panel Date: 04-20-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Prevention Research (20.2\_ARC\_CPR) meeting. The meeting was chaired by Nagi Kumar and Electra Paskett and conducted via teleconference on April 20, 2020. Reviewer William Barlow acted as Chair for one application.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed and ten (10) were not discussed
- Panelists: Two (2) panel chairs, twelve (12) expert reviewers, and two (2) advocate reviewers. One expert reviewer acted as panel chair for one application.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were two (2) Conflicts of Interest (COI) identified prior to and/or during the meeting. One COI was excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

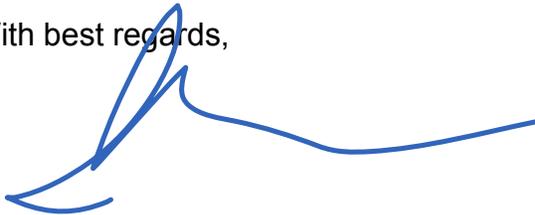
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or

programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures; other matters might have come to our attention that would have been reported to you.

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

With best regards,



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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**20.2 Academic Research Council Imaging Technology and**  
**Informatics (20.2 ARC ITI)**  
**Observation Report**

Report No. 2020-04-21 20.2\_ARC\_ITI  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI)  
Panel Date: 04-21-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI) meeting. The meeting was chaired by Martin Pomper and Anna Wu and conducted via teleconference on April 21, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and fourteen (14) were not discussed
- Panelists: Two (2) panel chairs, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were four (4) Conflicts of Interest (COI) identified prior to and/or during the meeting. Three COIs were excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

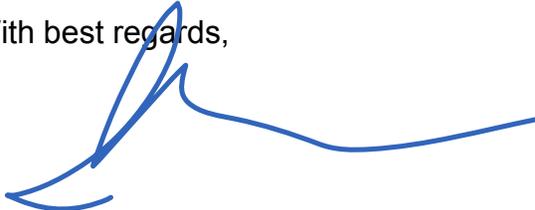
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**20.2 Academic Research Council Cancer Biology**  
**(20.2 ARC CB)**  
**Observation Report**

Report No. 2020-04-22 20.2\_ARC\_CB  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB)  
Panel Date: 04-22-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB) meeting. The meeting was chaired by Peter Jones and conducted via teleconference on April 22, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-two (22) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflicts of Interest (COI) identified prior to and/or during the meeting. The COI was excluded from discussions concerning the application 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**

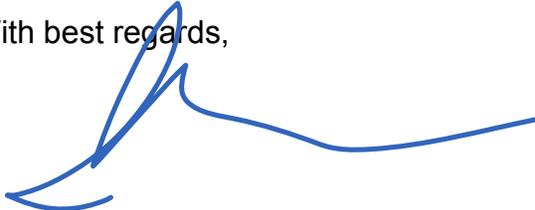
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**20.2 Academic Research Council Clinical and Translational**  
**Cancer Research (20.2 ARC CTCR)**  
**Observation Report**

Report No. 2020-04-23 20.2\_ARC\_CTCR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Clinical and Translational Cancer  
Research (20.2\_ARC\_CTCR)  
Panel Date: 04-23-2020  
Report Date: 05-22-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Clinical and Translational Cancer Research (20.2\_ARC\_CTCR) meeting. The meeting was chaired by Margaret Tempero and conducted via teleconference on April 23, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Sixteen (16) applications were discussed and fifteen (15) were not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers, and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with a COI was not discussed.

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**

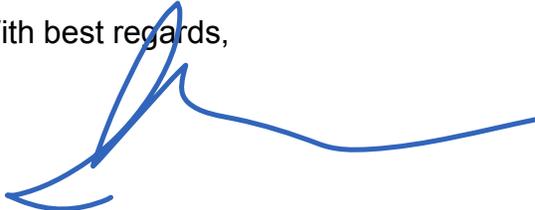
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)** **Scientific Review Council 20.2 (SRC 20.2) Observation Report**

Report No. 2020-07-09 SRC 20.2  
Program Name: Academic Research  
Panel Name: Scientific Review Council 20.2 (SRC\_20.2)  
Panel Date: 07-09-2020  
Report Date: 07-15-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Scientific Review Council 20.2 (SRC\_20.2) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on July 9, 2020.

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-eight (28) applications were reviewed
- Panelists: One (1) panel chair, five (5) expert reviewers and one additional reviewer was present but did not participate
- 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) Conflicts of Interests (COIs) identified prior to and/or during the meeting.

A list of all attendees and a sign-in log were provided by GDIT to aid in the observation of the COI procedures and objectives. BFS compiled informational materials from previous meetings to determine applications reviewed. 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. Our observations are limited to the information available.

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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.2 Applications

#### Academic Research Cycle 20.2 Awards Announced at August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.2 include *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards*; *Early Clinical Investigator Award*; *Core Facility Support Awards*; and *High-Impact/High-Risk Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200604	Robert Chapkin	Texas AgriLife Research	Eric Fearon
RP200614	Kevin Pinney	Baylor University	Martin Pomper
<b>Applications not considered by the PIC or Oversight Committee:</b>			
RP200570*	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP200524*	Manal Hassan	The University of Texas M. D. Anderson Cancer Center	Alexander Parker
RP200537	Aaron Thrift	Baylor College of Medicine	Christopher Haiman
RP200628*	Hasan Zaki	The University of Texas Southwestern Medical Center	Victor Engelhard
RP200538*	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP200607	Han Xiao	Rice University	Jason Lewis
RP200634	Georgios Alexandrakis	The University of Texas at Arlington	Arion- Xenofon Chatziioannou

\* Not discussed

# **De-Identified Overall Evaluation Scores**

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## Core Facility Support Awards

### Academic Research Cycle 20.2

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

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

Application ID	Final Overall Evaluation Score
RP200668*	1.1
RP200619*	1.8
RP200504*	2.3
ga	2.8
Gb	3.1
Gc	3.4
RP200572*	3.6
Gd	3.7
Ge	3.7
Gf	3.9
Gg	4.1
Gh	4.3
Gi	4.3
gk	4.8
Gl	5.3
Gm	5.3
gn	6.7

\* Recommended for CPRIT award

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

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**Ludwig Institute for  
Cancer Research Ltd**

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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T 858 534 7804  
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July 16, 2020

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 research grant recommendations for Collaborative Action Plan: Research Awards (CAP:RA), Core Facility Support Awards (CFSA), Early Clinical Investigator Awards (ECI), High-Impact/High Risk Awards (HIHR).

The SRC met on July 9, 2020 to consider the applications recommended by the peer review panels following their meetings that were held April 17, 2020 – April 23, 2020.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$32,465,430.

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

Sincerely yours,



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

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200668	CFSA	1.1	The Combinatorial Drug Discovery Program (CDDP)	Davies, Peter	Texas A&M University System Health Science Center	\$3,989,892
2	RP200554	CAP-RA	1.2	A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality	Singal, Amit	The University of Texas Southwestern Medical Center	\$2,499,995
3	RP200584	ECI	1.4	CPRIT Early-Career Clinical Investigator Award for Applicant: Premal Lulla, MD	Dickinson, Mary	Baylor College of Medicine	\$1,500,000
4	RP200619	CFSA	1.8	CPRIT RNA Therapeutics Core	Cooke, John	The Methodist Hospital Research Institute	\$3,999,995
5	RP200549	ECI	1.8	Enhancing Neoantigen Expression and Immune Checkpoint Inhibitor Response Using Splicing Modulators in Hepatocellular Carcinoma	Arteaga, Carlos	The University of Texas Southwestern Medical Center	\$1,499,998
6	RP200669	ECI	1.8	CPRIT Early Clinical Investigator Award: Chad Tang	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,499,996
7	RP200532	HIHRRRA	1.9	Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Antitumor Immunity	Lissanu Deribe, Yonathan	The University of Texas M. D. Anderson Cancer Center	\$249,992

8	RP200604	HIHRRRA	2.0	Targeting Plasma Membrane Spatial Dynamics to Suppress Obesity-Induced Colon Cancer	Chapkin, Robert	Texas AgriLife Research	\$250,000
9	RP200520	HIHRRRA	2.1	Developing Single-Cell RNAseq-Based Genetic Screens to Identify Novel Targets for Cancer Immunotherapy	Peng, Weiyi	University of Houston	\$250,000
10	RP200573	HIHRRRA	2.2	Low-Cost Nonconventional Ultralow-Field MRI Scanner for the Next-Generation MR-Guided Radiation Therapy	Jia, Xun	The University of Texas Southwestern Medical Center	\$250,000
11	RP200504	CFSA	2.3	Comprehensive Cancer Epigenomics Core Facility	Chen, Rui	Baylor College of Medicine	\$3,999,943
12	RP200670	ECI	2.5	Early Clinical Investigator Award: Nicolas Palaskas	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,491,551
13	RP200614	HIHRRRA	2.5	Novel Betabody-Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads	Pinney, Kevin	Baylor University	\$250,000
14	RP200655	HIHRRRA	2.5	A Novel Organoid Platform to Modulate Human Neural Networks Integrated With Glioblastoma Stem Cells	Krencik, Robert	The Methodist Hospital Research Institute	\$249,372

15	RP200574	HIHRRRA	2.6	Targeting B Cells to Enhance Responses to Immune Checkpoint Blockade	Wargo, Jennifer	The University of Texas M. D. Anderson Cancer Center	\$249,755
16	RP200509	HIHRRRA	2.7	Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Nonalcoholic Fatty Livers	Tsai, Robert	Texas A&M University System Health Science Center	\$250,000
17	RP200595	HIHRRRA	2.7	SERBP1, Epigenetic Regulation and Glioblastoma Targeting	Penalva, Luiz	The University of Texas Health Science Center at San Antonio	\$249,968
18	RP200633	CAP-RA	2.8	Reducing Disparities in the Risk of Hepatocellular Cancer	KANWAL, FASIHA	Baylor College of Medicine	\$2,434,495
19	RP200537	CAP-RA	2.9	Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics	Thrift, Aaron	Baylor College of Medicine	\$2,473,314
20	RP200657	HIHRRRA	2.9	Screening for Melanoma Genes Using Natural Hybrid Incompatibilities	Schartl, Manfred	Texas State University - San Marcos	\$248,458
21	RP200617	HIHRRRA	2.9	Pathological Role of Neuronal Cell Cycle Reentry in the Development of Chemotherapy-Induced Peripheral Neuropathy	Lee, Hyoung-gon	The University of Texas at San Antonio	\$250,000
22	RP200650	HIHRRRA	2.9	Characterization of Salmonella Tumor-Targeting Mechanisms and Oncolytic Potential	Kenney, Linda	The University of Texas Medical Branch at Galveston	\$250,000

23	RP200612	HIHRRRA	3.1	Elucidating Premetastatic Niches at Single-Cell Resolution	Giancotti, Filippo	The University of Texas M. D. Anderson Cancer Center	\$249,996
24	RP200620	HIHRRRA	3.2	Targeting Fatty Acid Synthesis in NAFLD-Related HCC	Dong, Bingning	Baylor College of Medicine	\$250,000
25	RP200615	HIHRRRA	3.4	Small RNA Nanovector-Based Targeted Immunotherapy for Glioblastoma	Lee, Tae Jin	The University of Texas Health Science Center at Houston	\$250,000
26	RP200572	CFSA	3.6	From Whole-Animal Imaging to Superresolution Microscopy: An Imaging Core for the TTUHSC Campus at Amarillo	Bickel, Ulrich	Texas Tech University Health Sciences Center	\$2,831,213
27	RP200593	HIHRRRA	3.6	High-Throughput Nondestructive Enumeration and Characterization of CTCs in Whole Blood by a Thin Film "Tactile" Microfluidics and Holographic Interferometry	Sheng, Jian	Texas A&M University - Corpus Christi	\$247,703
28	RP200526	HIHRRRA	3.7	Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma	Zhu, Jay-Jiguang	The University of Texas Health Science Center at Houston	\$249,794



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 2**  
*Early Clinical Investigator Award*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**

**RFA R-20.2-ECI**

**Early Clinical Investigator Award**

**Please also refer to the Instructions for Applicants document,  
which will be posted on October 16, 2019**

Applications for this award mechanism are subject to institutional limits.  
Applicants are advised to consult with their institution's Office of Research and  
Sponsored Programs (or equivalent).

**Application Receipt Opening Date:** October 16, 2019

**Application Receipt Closing Date:** January 15, 2020

**FY 2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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## **RFA VERSION HISTORY**

Rev 08/26/19 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 regarding 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 number of highly talented individuals entering a career in clinical investigation is decreasing at a time when the excitement and challenge associated with clinical cancer research has never been greater. The reasons for the decline in cancer clinical investigators are many and include the increased demands on clinical faculty to generate clinical revenue and as a consequence, limited opportunities for clinical faculty to pursue research; the burden of medical school debt that limits a trainee's options for extending training and pursuing an academic career; and the increasingly complex nature of clinical research requiring specialized training not offered by clinical training programs. Consequently, clinical faculty often do not have the opportunity or experience required to initiate a career as a clinical investigator.

There is concern that this failure of oncology-trained clinicians to pursue careers in patient-oriented research and clinical investigation will seriously impair the ability to translate what has been discovered in the preclinical setting into advances that can benefit patients. Accordingly, there is an urgent need to develop a pipeline of cancer clinicians equipped with the skills and experience necessary to pursue careers in patient-oriented research and capable of leading innovative discovery campaigns through the conduct of clinical trials and **to provide these clinical investigators the protected time from clinical responsibilities that is required to develop and conduct investigator-initiated clinical trials.**

## 3. OBJECTIVES

The Early Clinical Investigator Award is designed to provide support for the career development of very promising early-career physicians with specialty training relevant to delivery of cancer care, including therapeutic intervention, early detection, and prevention. Candidates are expected to demonstrate the talent, interest, and commitment to ask questions of patients regarding their diseases and their responses to an intervention that would provide new information about the patient's malignancy and, if the intervention worked, why, or more important, if it did not, why not.

The Early Clinical Investigator Award specifically targets physicians with the following:

- **Are within the first 5 years of a faculty appointment at the assistant professor level.**
- **Have completed specialty training relevant to cancer care, detection, or prevention and are eligible to be certified by their institution to provide patient care in an oncology-related practice.**
- **Plan research that involves the conduct of clinical trials involving a therapeutic intervention, early detection, prevention, symptom control, or behavioral interventions.**

The CPRIT Early Clinical Investigator Award will do the following:

- Provide cancer physicians early in their academic career the opportunity to develop clinical research skills and to gain experience in advanced methods and experimental approaches needed to become clinical investigators.
- Provide an opportunity to establish a partnership with a laboratory-based collaborator in order to design and conduct correlative studies needed to interpret the outcome of an interventional trial.
- Provide the protected time from clinical responsibilities required to develop and conduct investigator-initiated clinical trials.
- Increase the pool of clinical investigators at Texas academic institutions who are conducting patient-oriented studies, capitalizing on basic discoveries and translating them through the conduct of innovative clinical trials involving cancer patients or individuals at risk for cancer.

To accomplish these objectives the CPRIT Early Clinical Investigator Award will provide awards of up to \$1,500,000 for up to 5 years to physicians within the first 5 years of an appointment as an assistant professor to acquire additional skills and experience in clinical research and to develop preliminary data that can be used to prepare applications for future research project grants to further both the investigator's career and the CPRIT mission. This award may be used for the following:

- To provide salary support to the candidate
- To support didactic study including enrollment in a degree-granting graduate training program to enhance theoretical and practical skills in design, implementation, and interpretation of data from clinical investigations

- To develop preclinical data and to validate correlative studies with a laboratory-based collaborator
- To support an investigator-initiated clinical trial during the award period

The host institution will be expected to work with each Early Clinical Investigator to design and execute the faculty career development plan consistent with his or her research emphasis. Relevance to cancer and to CPRIT's priority areas are important evaluation criteria for CPRIT funding.

CPRIT encourages the participation of all groups underrepresented in biomedical research.

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

CPRIT Early Clinical Investigator Awards are intended to provide clinical faculty who are early in their first faculty position enough time for scholarly activities to develop the knowledge base, experience, and partnership(s) required of a successful clinical investigator. CPRIT recognizes that Early Clinical Investigators will need to commit time to direct patient care in order to hone their clinical expertise and that the time commitment required will vary depending on the nature of the individual's clinical practice and level of prior experience; however, the **institution must commit to limiting the clinical duties of the Early Clinical Investigator to no more than 0.5 FTE for the duration of the award.**

A critical component of the Early Clinical Investigator Award is the identification of a mentor (or co-mentors) and the design of a mentoring program that is tailored to the individual's goals and prior experience. The primary mentor should be a clinical and or translational investigator with a strong track record for conducting patient-oriented research. The mentor will be expected to provide an annual progress report that documents progress made toward the goal of independence as a clinical investigator.

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

This award is for **up to 5 years** providing applicants the opportunity to tailor the content and the duration of the award period based upon their individual program. This award is not renewable, although individuals may apply for other future CPRIT funding as appropriate.

Grant funds of up to \$1,500,000 (total costs) may be requested. Funding may be used by the Early Clinical Investigator for salary and fringe support (salary up to the CPRIT maximum of

\$200,000/FTE), for didactic study including enrollment in a degree-granting graduate program, to obtain preclinical data including correlative assay development with a laboratory collaborator, and to support the research project involving an investigator-initiated interventional clinical trial that is a required component of this award.

Applicants are encouraged to design a scholarly training and educational experience that fits the candidate's background and program plan. For example, funds to support didactic study might be emphasized in the first years of the award, and funds to develop correlative assays and to initiate an investigator-initiated clinical trial may be prorated for the later years of the award.

Requests for equipment are not appropriate for this award mechanism except in exceptional circumstances that must be very well justified. Requests for support for faculty mentors are not appropriate for this award. Funds from this award mechanism may not be used to construct or renovate laboratory space.

The award request may include indirect costs of up to 5% of the total award amount (5.263% of the direct costs). Candidates are expected to attend CPRIT's conference. CPRIT funds may be used to reimburse registration, travel, and lodging expenses.

**Continuation of funding of this award is contingent upon receipt of an annual progress report that documents achievement of the approved training and project milestones (see [section 7.2.7](#)).**

## **6. ELIGIBILITY**

- The applicant must be a Texas-based entity. Any not-for-profit institution that provides cancer care and conducts clinical cancer 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.
- **An institution may submit only 2 applications under this RFA during this funding cycle.**
- 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.

- Candidates must be within 5 years of their first appointment at the assistant professor level.
- The candidate must have an MD or DO degree and reside in Texas at the time an award contract is made and for the duration of the appointment.
- The candidate must have oncology subspecialty training or equivalent and be eligible to be certified by their institution to provide patient care in an oncology-related practice.  
Note: pathologists and radiologists are eligible for this award.
- At the time of the application, the candidate must not have been appointed at the rank of assistant professor or equivalent at an accredited academic institution, research institution, industry, government agency, or private foundation **for more than 5 years.**
- Candidates may not hold a Paul Calabresi Career Development Award for Clinical Oncology (K12), a Mentored Clinical Scientist Research Career Development Award (K08) program award, or similar clinical research career development award at the same time as a CPRIT Early Clinical Investigator Award.
- Individuals who have received a CPRIT First-Time Tenure-Track Faculty Award are not eligible for the Early Clinical Investigator Award.
- Candidates must have identified a mentor who is located at the applicant institution and who agrees to supervise the candidate's career development and research experience.
- 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 10](#) and [section 11](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov).

## **7. RESPONDING TO THIS RFA**

### **7.1. Application Submission Guidelines**

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted. Candidates must be nominated by the institution's president, provost, vice president for research, or appropriate dean. The individual submitting the application (Nominator) must create a user account in the system to start and apply. 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 beginning at 7 AM central time on October 16, 2019 and must be submitted by 4 PM central time on January 15, 2020. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### **7.1.1. Submission Deadline Extension**

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

## **7.2. 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.

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

Provide a brief summary of the nomination. Include the candidate's name and the department and/or entity within the nominator's organization where the candidate is appointed.

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

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 the chair of the candidate's department. The following information should be included in the letter:

- Describe the candidate selection process and the organization's commitment to the candidate's career development as a clinical investigator.
- State the total award amount and duration requested.
- Document that at the time of the Early Clinical Investigator Award contract begins the candidate will be appointed at the assistant professor level (or equivalent) and will be eligible to provide patient care in a cancer-related discipline at the applicant institution.
- Document that a minimum of 50% of the candidate's effort will be available for individual career development and research during the full course of the Early Clinical

Investigator Award. Breach of this requirement will constitute grounds for discontinuation of the award.

- Document how the candidate’s mentoring plan and research experience was developed and how the institution will oversee the candidate’s development as clinical investigator.
- Provide additional information in support of a candidate’s research plan to demonstrate how the institutional commitment through development of strategic collaborations and leveraging the institution’s unique strengths will foster the candidate’s career trajectory.

### **7.2.3. 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.

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

List very broad goals and objectives to be achieved during this award. **This section and the following section (7.2.5) must be completed by the candidate.**

### **7.2.5. Candidate Information and Career Development Plan (4 pages)**

#### *Candidate Background*

- Describe the candidate’s commitment to an academic career in patient-oriented research.
- Describe the candidate’s prior training and how it relates to the goals and long-term career plans of the candidate.
- Describe all the candidate’s clinical and other professional responsibilities/activities in the grantee institution beyond the commitment to career development and research and elsewhere and describe their relationship to the proposed activities on this award.
- Describe the candidate’s research efforts to this point, including any publications, prior research interests, and experience.

#### *Career Development Plan*

- Describe the candidate’s mentored research development plan that includes intent to implement an investigator-initiated clinical trial by Year 3 of the award. Include a timeline chart to illustrate this plan.
- Describe any didactic and research experience(s) designed to develop the necessary knowledge and research skills in scientific areas relevant to the candidate’s career goals.

- Demonstrate that the candidate has received training or will participate in courses such as biostatistics, data management, epidemiology, study design, hypothesis development, and drug development including FDA regulatory policies, etc, as well as the legal and ethical issues associated with research on human subjects. **Candidates are encouraged to pursue as part of the Early Clinical Investigator Award an advanced degree–granting program to gain this knowledge.** In addition, candidates may wish to design opportunities to gain experience in clinical investigations as part of an internship or similar arrangement with a pharmaceutical organization.

### *Research Plan*

- Describe a research plan that will lead to the design and implementation of an investigator-initiated clinical trial.
- While the focus of the Early Clinical Investigator Award is on patient-oriented research, complementary laboratory-based research directly related to the proposed patient-oriented research project may be proposed in the application, thereby providing an opportunity to obtain preclinical data and to develop and validate any proposed correlative assays with a laboratory based collaborator. If correlative studies are proposed, a qualified collaborator who is able and willing to participate in the design and conduct of the correlative studies needed should be identified and, if not already identified as a co-mentor, provide a letter of intent to collaborate and biosketch.

### **7.2.6. Mentor, Co-mentor (4-page description)**

Name a primary mentor who, together with the candidate, is responsible for planning, directing, monitoring, and executing the proposed program. The primary mentor is required to be an experienced clinical investigator. Co-mentors as appropriate to the goals of the program are encouraged.

Include a statement from the mentor providing (1) information on his/her background as a clinical investigator and previous experience as a mentor, (2) a plan that describes the nature of the supervision and mentoring that will occur during the proposed award period, (3) a plan for career progression for the candidate to move from the mentored stage of his/her career to independent research investigator status during the project period of the award, and (4) a plan for monitoring the candidate's research, publications, and progress over the course of the award.

Similar information must be provided by any co-mentor. The mentor and any co-mentor(s) should clearly describe how they will coordinate their mentoring of the candidate.

**The primary mentor must agree to provide annual evaluations of the candidate's progress in the annual progress report.**

#### **7.2.7. Mentor, Co-mentor Biographical Sketches (5 pages each)**

Biosketches that include current and past funding for the mentor and all co-mentors must be provided. Biosketches should also include education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 5 pages.

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

Provide an outline of anticipated major award outcomes to be tracked. Timelines will be reviewed during the evaluation of annual progress reports. **Note that the progress report at the completion of Year 2 of this award must include an investigator-initiated clinical trial protocol and a detailed timeline for implementation.**

If the application is approved for funding, this section will be included in the award contract and will be used to monitor progress. Failure to demonstrate robust progress may result in early termination of the grant award. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

#### **7.2.9. Current and Pending Support**

State the funding source, duration, and title of all current and pending financial support including any research awards 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.

#### **7.2.10. Letters of Recommendation**

Provide 2 letters of recommendation from individuals in addition to the mentor and co-mentor who can detail the candidate's academic accomplishments, potential as a clinical investigator, and ability to make a significant contribution to the field of cancer research.

### 7.2.11. Research Environment (1 page)

Clearly and concisely describe the research environment available to support the candidate's research program as well as access to clinical facilities and patients, core facilities, didactic programs, and collaborative opportunities.

**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.**

### 7.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

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

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

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

## **8. APPLICATION REVIEW**

### **8.1. Review Process**

All applications will undergo a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed in [section 8.2](#). Applicants will be notified of peer review panel assignments prior to the peer review meeting dates. Peer review panel membership can be found on the CPRIT website. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [Texas Administrative Code, Title 25, Chapters 701 to 703](#).

### **8.2. 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.

### **8.3. Review Criteria**

Applications will be assessed based on evaluation of the quality of the candidate and his or her potential for development as a clinical investigator. **Also of critical importance is the strength of the institutional commitment to the candidate’s career development and the track record of the candidate’s mentor(s).**

Review criteria will focus on the overall impression of the candidate and the proposed career development plan, the institution’s commitment to the candidate’s career development as a clinical investigator, and his or her long-term potential to have an 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 training as a clinician in a cancer discipline? Does the candidate show exceptional potential for making an impact on cancer research in the future?

**Institutional commitment and mentorship plan:** Will the candidate have enough time and support to develop as a clinical investigator? Is the mentor(s) and mentorship plan well developed and tailored to guide the candidate to achieve the candidate's career goals?

**Relevance of Candidate's career plan:** Is the proposed area of focus likely to have a significant impact on reducing the burden of cancer in the near term?

**Letters of Recommendation:** Do the letters of recommendation detail the candidate's academic and clinical accomplishments, potential for innovation as a clinical investigator, 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 including access to patients to support the candidate's development? Is there evidence of strong institutional support? Will the candidate's administrative/clinical responsibilities be sufficiently limited so that he or she can focus on growing his or her research? Has the institution identified a mentor who will collaborate with the candidate in the design and oversight of a faculty career development plan for the candidate? If correlative studies are proposed is a qualified collaborator who is able and willing to participate in the design and conduct of the correlative studies needed identified.

## **9. KEY DATES**

### **RFA**

RFA release August 26, 2019

### **Application**

Online application opens October 16, 2019, 7 AM central time

Application due January 15, 2020, 4 PM central time

Application review January 2020 to August 2020

### **Award**

Award notification August 19, 2020

**Anticipated start date August 31, 2020**

## 10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Awards made under this RFA are not transferable to another institution. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [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 outlined in [section 7.2.7](#) 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's Academic Research Program staff reviews the progress reports, and continuation of funding is contingent upon demonstration of progress and achievement of the goals set forth in [section 7.2.7](#).** 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).

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

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

## **12. CONTACT INFORMATION**

### **12.1. Helpdesk**

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via 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)

### **12.2. Scientific and Programmatic Questions**

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Senior Program Manager for 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)**  
**20.2 Academic Research Council Basic Cancer Research - 2**  
**(20.2 ARC BCR-2)**  
**Observation Report**

Report No. 2020-04-17 20.2\_ARC\_BCR-2  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Basic Cancer Research - 2  
(20.2\_ARC\_BCR-2)  
Panel Date: 04-17-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Basic Cancer Research - 2 (20.2\_ARC\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted via teleconference on April 17, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Ten (10) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Eight (8)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Five (5)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: Two (2)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with the COI was not discussed.

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**

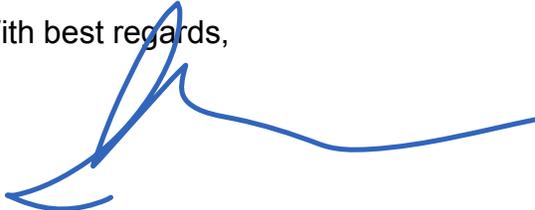
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**20.2 Academic Research Council Cancer Prevention**  
**Research (20.2 ARC CPR)**  
**Observation Report**

Report No. 2020-04-20 20.2\_ARC\_CPR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Prevention Research  
(20.2\_ARC\_CPR)  
Panel Date: 04-20-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Prevention Research (20.2\_ARC\_CPR) meeting. The meeting was chaired by Nagi Kumar and Electra Paskett and conducted via teleconference on April 20, 2020. Reviewer William Barlow acted as Chair for one application.

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

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed and ten (10) were not discussed
- Panelists: Two (2) panel chairs, twelve (12) expert reviewers, and two (2) advocate reviewers. One expert reviewer acted as panel chair for one application.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were two (2) Conflicts of Interest (COI) identified prior to and/or during the meeting. One COI was excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

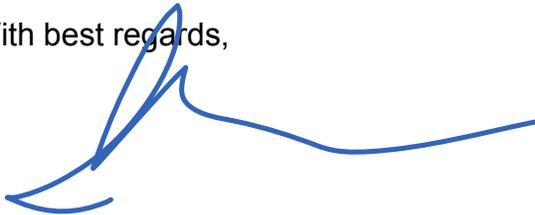
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or

programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures; other matters might have come to our attention that would have been reported to you.

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

With best regards,



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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**20.2 Academic Research Council Imaging Technology and**  
**Informatics (20.2 ARC ITI)**  
**Observation Report**

Report No. 2020-04-21 20.2\_ARC\_ITI  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI)  
Panel Date: 04-21-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI) meeting. The meeting was chaired by Martin Pomper and Anna Wu and conducted via teleconference on April 21, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and fourteen (14) were not discussed
- Panelists: Two (2) panel chairs, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were four (4) Conflicts of Interest (COI) identified prior to and/or during the meeting. Three COIs were excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

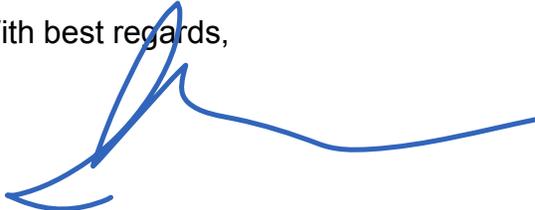
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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 read 'Mara Ash', with a long horizontal flourish 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)**  
**20.2 Academic Research Council Cancer Biology**  
**(20.2 ARC CB)**  
**Observation Report**

Report No. 2020-04-22 20.2\_ARC\_CB  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB)  
Panel Date: 04-22-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB) meeting. The meeting was chaired by Peter Jones and conducted via teleconference on April 22, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-two (22) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflicts of Interest (COI) identified prior to and/or during the meeting. The COI was excluded from discussions concerning the application 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**

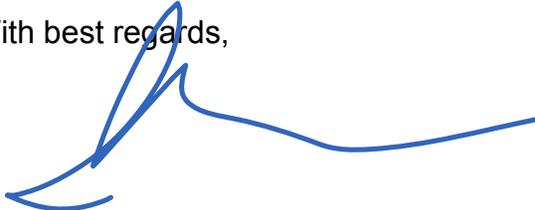
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BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the 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.

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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)**  
**20.2 Academic Research Council Clinical and Translational**  
**Cancer Research (20.2 ARC CTCR)**  
**Observation Report**

Report No. 2020-04-23 20.2\_ARC\_CTCR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Clinical and Translational Cancer  
Research (20.2\_ARC\_CTCR)  
Panel Date: 04-23-2020  
Report Date: 05-22-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Clinical and Translational Cancer Research (20.2\_ARC\_CTCR) meeting. The meeting was chaired by Margaret Tempero and conducted via teleconference on April 23, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Sixteen (16) applications were discussed and fifteen (15) were not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers, and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with a COI was not discussed.

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**

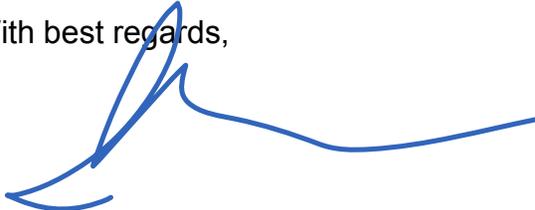
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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With best regards,

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

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



## **Cancer Prevention and Research Institute of Texas (CPRIT)** **Scientific Review Council 20.2 (SRC 20.2) Observation Report**

Report No. 2020-07-09 SRC 20.2  
Program Name: Academic Research  
Panel Name: Scientific Review Council 20.2 (SRC\_20.2)  
Panel Date: 07-09-2020  
Report Date: 07-15-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Scientific Review Council 20.2 (SRC\_20.2) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on July 9, 2020.

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-eight (28) applications were reviewed
- Panelists: One (1) panel chair, five (5) expert reviewers and one additional reviewer was present but did not participate
- 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) Conflicts of Interests (COIs) identified prior to and/or during the meeting.

A list of all attendees and a sign-in log were provided by GDIT to aid in the observation of the COI procedures and objectives. BFS compiled informational materials from previous meetings to determine applications reviewed. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

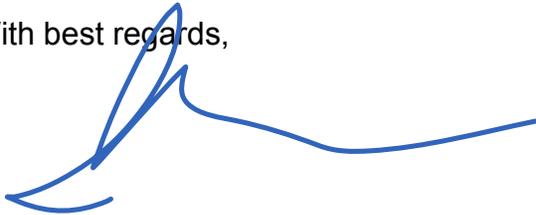
## **CONCLUSION**

In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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

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

With best regards,

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

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

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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.2 Applications

#### Academic Research Cycle 20.2 Awards Announced at August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.2 include *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards*; *Early Clinical Investigator Award*; *Core Facility Support Awards*; and *High-Impact/High-Risk Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200604	Robert Chapkin	Texas AgriLife Research	Eric Fearon
RP200614	Kevin Pinney	Baylor University	Martin Pomper
<b>Applications not considered by the PIC or Oversight Committee:</b>			
RP200570*	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP200524*	Manal Hassan	The University of Texas M. D. Anderson Cancer Center	Alexander Parker
RP200537	Aaron Thrift	Baylor College of Medicine	Christopher Haiman
RP200628*	Hasan Zaki	The University of Texas Southwestern Medical Center	Victor Engelhard
RP200538*	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP200607	Han Xiao	Rice University	Jason Lewis
RP200634	Georgios Alexandrakis	The University of Texas at Arlington	Arion- Xenofon Chatziioannou

\* Not discussed

# **De-Identified Overall Evaluation Scores**

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## Early Clinical Investigator Award

Academic Research Cycle 20.2

Application ID	Final Overall Evaluation Score
RP200584*	1.4
RP200549*	1.8
RP200669*	1.8
RP200670*	2.5
ha	2.9
hb	2.9
hc	3.8
hd	4.3

\* Recommended for CPRIT award

20.2 Early Clinical Investigator Award

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

---

**Ludwig Institute for  
Cancer Research Ltd**

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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

**San Diego Branch**

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Medicine  
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La Jolla, CA 92093-0660

T 858 534 7804  
F 858 534 7750

July 16, 2020

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 research grant recommendations for Collaborative Action Plan: Research Awards (CAP:RA), Core Facility Support Awards (CFSA), Early Clinical Investigator Awards (ECI), High-Impact/High Risk Awards (HIHR).

The SRC met on July 9, 2020 to consider the applications recommended by the peer review panels following their meetings that were held April 17, 2020 – April 23, 2020.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$32,465,430.

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

Sincerely yours,



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

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200668	CFSA	1.1	The Combinatorial Drug Discovery Program (CDDP)	Davies, Peter	Texas A&M University System Health Science Center	\$3,989,892
2	RP200554	CAP-RA	1.2	A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality	Singal, Amit	The University of Texas Southwestern Medical Center	\$2,499,995
3	RP200584	ECI	1.4	CPRIT Early-Career Clinical Investigator Award for Applicant: Premal Lulla, MD	Dickinson, Mary	Baylor College of Medicine	\$1,500,000
4	RP200619	CFSA	1.8	CPRIT RNA Therapeutics Core	Cooke, John	The Methodist Hospital Research Institute	\$3,999,995
5	RP200549	ECI	1.8	Enhancing Neoantigen Expression and Immune Checkpoint Inhibitor Response Using Splicing Modulators in Hepatocellular Carcinoma	Arteaga, Carlos	The University of Texas Southwestern Medical Center	\$1,499,998
6	RP200669	ECI	1.8	CPRIT Early Clinical Investigator Award: Chad Tang	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,499,996
7	RP200532	HIHRRRA	1.9	Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Antitumor Immunity	Lissanu Deribe, Yonathan	The University of Texas M. D. Anderson Cancer Center	\$249,992

8	RP200604	HIHRRRA	2.0	Targeting Plasma Membrane Spatial Dynamics to Suppress Obesity-Induced Colon Cancer	Chapkin, Robert	Texas AgriLife Research	\$250,000
9	RP200520	HIHRRRA	2.1	Developing Single-Cell RNAseq-Based Genetic Screens to Identify Novel Targets for Cancer Immunotherapy	Peng, Weiyi	University of Houston	\$250,000
10	RP200573	HIHRRRA	2.2	Low-Cost Nonconventional Ultralow-Field MRI Scanner for the Next-Generation MR-Guided Radiation Therapy	Jia, Xun	The University of Texas Southwestern Medical Center	\$250,000
11	RP200504	CFSA	2.3	Comprehensive Cancer Epigenomics Core Facility	Chen, Rui	Baylor College of Medicine	\$3,999,943
12	RP200670	ECI	2.5	Early Clinical Investigator Award: Nicolas Palaskas	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,491,551
13	RP200614	HIHRRRA	2.5	Novel Betabody-Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads	Pinney, Kevin	Baylor University	\$250,000
14	RP200655	HIHRRRA	2.5	A Novel Organoid Platform to Modulate Human Neural Networks Integrated With Glioblastoma Stem Cells	Krencik, Robert	The Methodist Hospital Research Institute	\$249,372

15	RP200574	HIHRRRA	2.6	Targeting B Cells to Enhance Responses to Immune Checkpoint Blockade	Wargo, Jennifer	The University of Texas M. D. Anderson Cancer Center	\$249,755
16	RP200509	HIHRRRA	2.7	Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Nonalcoholic Fatty Livers	Tsai, Robert	Texas A&M University System Health Science Center	\$250,000
17	RP200595	HIHRRRA	2.7	SERBP1, Epigenetic Regulation and Glioblastoma Targeting	Penalva, Luiz	The University of Texas Health Science Center at San Antonio	\$249,968
18	RP200633	CAP-RA	2.8	Reducing Disparities in the Risk of Hepatocellular Cancer	KANWAL, FASIHA	Baylor College of Medicine	\$2,434,495
19	RP200537	CAP-RA	2.9	Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics	Thrift, Aaron	Baylor College of Medicine	\$2,473,314
20	RP200657	HIHRRRA	2.9	Screening for Melanoma Genes Using Natural Hybrid Incompatibilities	Schartl, Manfred	Texas State University - San Marcos	\$248,458
21	RP200617	HIHRRRA	2.9	Pathological Role of Neuronal Cell Cycle Reentry in the Development of Chemotherapy-Induced Peripheral Neuropathy	Lee, Hyoung-gon	The University of Texas at San Antonio	\$250,000
22	RP200650	HIHRRRA	2.9	Characterization of Salmonella Tumor-Targeting Mechanisms and Oncolytic Potential	Kenney, Linda	The University of Texas Medical Branch at Galveston	\$250,000

23	RP200612	HIHRRRA	3.1	Elucidating Premetastatic Niches at Single-Cell Resolution	Giancotti, Filippo	The University of Texas M. D. Anderson Cancer Center	\$249,996
24	RP200620	HIHRRRA	3.2	Targeting Fatty Acid Synthesis in NAFLD-Related HCC	Dong, Bingning	Baylor College of Medicine	\$250,000
25	RP200615	HIHRRRA	3.4	Small RNA Nanovector-Based Targeted Immunotherapy for Glioblastoma	Lee, Tae Jin	The University of Texas Health Science Center at Houston	\$250,000
26	RP200572	CFSA	3.6	From Whole-Animal Imaging to Superresolution Microscopy: An Imaging Core for the TTUHSC Campus at Amarillo	Bickel, Ulrich	Texas Tech University Health Sciences Center	\$2,831,213
27	RP200593	HIHRRRA	3.6	High-Throughput Nondestructive Enumeration and Characterization of CTCs in Whole Blood by a Thin Film "Tactile" Microfluidics and Holographic Interferometry	Sheng, Jian	Texas A&M University - Corpus Christi	\$247,703
28	RP200526	HIHRRRA	3.7	Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma	Zhu, Jay-Jiguang	The University of Texas Health Science Center at Houston	\$249,794



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 2**  
***High-Impact/High-Risk Research Awards***

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA R-20.2-HIHR**

**High-Impact/High-Risk Research Awards**

**Please also refer to the Instructions for Applicants document,  
which will be posted on October 16, 2019**

Applications for this award mechanism are subject to institutional limits.  
Applicants are advised to consult with their institution's  
Office of Research and Sponsored Programs (or equivalent).

**Application Receipt Opening Date:** October 16, 2019

**Application Receipt Closing Date:** January 15, 2020

**FY2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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## **RFA VERSION HISTORY**

Rev 08/26/19 RFA release

Rev 9/17/19 Section 7.2.14 – Institutional Limits

- Added language regarding institutional limits for Health Science Centers

## **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

CPRIT High-Impact/High-Risk (HIHR) Research Awards seek to provide short-term funding to explore the feasibility of high-risk projects that, if successful, would contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers. Because HIHR Research Awards are designed to support new ideas, preliminary data are not required. Using this mechanism, CPRIT intends to support innovative, developmental projects that focus on exceptionally promising topics that are not yet sufficiently mature to compete successfully for more conventional funding. The HIHR Research Awards are expected to provide the foundation for individual or multiple investigator awards upon completion. Applicants must explain why more conventional sources of support are not available for the proposed research and how short-term funding will lead to strong applications for additional support.

Applications that might be described as “mini-R01s” will not be competitive. **The goal of this award mechanism is to fund uncommonly great ideas that merit the opportunity to acquire preliminary data. There should be reasons for the idea to be plausible, but CPRIT acknowledges that most of the selected projects will ultimately fail to meet their primary goals. The rare proposals that succeed will be of sufficient importance to justify this program.** Applications may address any research topic related to cancer biology, causation, prevention, detection, screening, treatment, or survivorship.

## 3. RESEARCH OBJECTIVES

Areas of interest include laboratory research, translational studies, and population-based and/or clinical investigations. In that cancers arise from a large number of derangements of basic molecular and cellular functions, which, in turn, cause many alterations in basic biological processes, almost any aspect of biology may be relevant to cancer research, more or less directly. The *degree of relevance* to cancer research will be an important criterion for evaluation of projects for funding by CPRIT ([section 8.3.1](#)). For example, are alterations in the process in question *primarily* responsible for oncogenesis or secondary manifestations of malignant transformation? Will understanding the process or interfering with it offer selective and useful insight into prevention, diagnosis, or treatment of cancer? *Successful applicants for funding from CPRIT will have addressed these questions satisfactorily.*

#### **4. FUNDING INFORMATION**

Applicants may request a total of \$250,000 for a period of up to 24 months (2 years), inclusive of both direct and indirect costs. Because of the nature of this funding mechanism, renewal applications will not be accepted. Follow-on applications will not be funded until the time requested for the HIHR Research Award has passed. Award funds may be used to pay for salary and benefits, research supplies, equipment, and clinical costs. Requests for funds for travel to scientific meetings other than the CPRIT biennial conference are not appropriate for this funding mechanism, nor are requests for funds to support construction and/or renovation. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

#### **5. ELIGIBILITY**

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is also eligible for funding under this award mechanism.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent and reside in Texas for the period of the time that the research that is the subject of the grant application is conducted.
- A PI may submit only 1 new or resubmission application under this RFA during this funding cycle.
- One Co-PI may be included. An individual may serve as a Co-PI in more than 1 application but should ensure that he or she could dedicate adequate time and effort should more than 1 application be funded. The Co-PI must reside in Texas for the period of the time that the research that is the subject of the grant application is conducted.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Collaborators should have specific and well-defined roles. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.

- An individual may serve as a PI on no more than 3 active Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers project leaders on a MIRA award equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be 8/31/20).
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 10](#) and [section 11](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov).

## 6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted.

## 7. RESPONDING TO THIS RFA

### 7.1. Application Submission Guidelines

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

Applications will be accepted beginning at 7 AM central time on October 16, 2019 and must be submitted by 4 PM central time on January 15, 2020. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

#### 7.1.1. Submission Deadline Extension

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

## **7.2. Application Components**

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

### **7.2.1. Abstract and Significance (5,000 characters)**

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

### **7.2.2. Layperson's Summary (2,000 characters)**

Provide a layperson's summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer prevention research, early diagnosis, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson's summary. The layperson's summary will also be used by advocate reviewers ([section 8.1](#)) in evaluating the significance and impact of the proposed work.

### **7.2.3. Goals and Objectives**

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

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

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

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

#### **7.2.5. Resubmission Summary (1 page)**

An application previously submitted to CPRIT but not funded may be resubmitted **once** after careful consideration of the reasons for lack of prior success. Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

#### **7.2.6. Research Plan (4 pages)**

**Background:** Present the rationale behind the proposed project, emphasizing the pressing problem in cancer research that will be addressed. Preliminary data are not required, but strong reasoning and literature support will obviously enhance the application.

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

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

#### **7.2.7. Vertebrate Animals and/or Human Subjects (2 pages)**

If vertebrate animals will be used, provide an outline of the appropriate protocols that will be followed. If human subjects or human biological samples will be used, provide a plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism.

#### **7.2.8. Publications/References**

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

#### **7.2.9. Budget and Justification**

Provide a compelling justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and

other expenses. Applications requesting more than \$250,000 (total costs) over a maximum period of 24 months (2 years) will be administratively withdrawn.

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

- Major equipment purchases are discouraged for this funding mechanism. Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at [www.cpritis.texas.gov](http://www.cpritis.texas.gov). So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may be reimbursed from a CPRIT award 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.

#### **7.2.10. Biographical Sketches (5 pages each)**

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research.

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages.

### **7.2.11. Current and Pending Support**

State the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided.

### **7.2.12. Institutional/Collaborator Support and/or Other Certification (2 pages)**

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 2 pages may be provided.

### **7.2.13. Previous Summary Statement**

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

### **7.2.14. Institutional Limits**

In order to ensure timely and high-quality review of the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, CPRIT is imposing a limit (5 applications from an academic research institution, 5 applications from the institutions' affiliated Health Science Centers and 1 each from public or private companies) on the number of HIHR Research Award applications that may be submitted by an institution during this review cycle.

The limit on the number of applications may seem restrictive, but experience indicates that truly innovative ideas that are appropriate for this award mechanism are uncommon. CPRIT expects institutions to initiate an internal review process and only authorize submission of the appropriate number of applications that have been rigorously judged to be responsive to this RFA.

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

### 7.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

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

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

## **8. APPLICATION REVIEW**

### **8.1. Review Process Overview**

All eligible applications will be evaluated using a 2-stage peer review process: (1) Peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council (SRC). In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts, as well as advocate reviewers, using the criteria listed below. In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT SRC based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by the SRC will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding.

The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [Chapter 703, sections 703.6 to 703.8](#).

### **8.2. Confidentiality of Review**

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

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

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

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT’s Administrative Rules, 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, a Scientific Review Panel member, or a SRC member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services.

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

### **8.3. Review Criteria**

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

#### **8.3.1. Primary Criteria**

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

**Significance and Impact:** Is the application clearly responsive to the RFA and specifically to the HIHR Research Award mechanism? What is the innovative potential of the project? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-

the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Responsive applications will be highly speculative or exploratory; they need not be based on preliminary data but must have the potential for high scientific payoff because of exceptionally promising ideas.

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

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

**Relevance:** Does the proposed research have a high degree of relevance to cancer? This will be an important criterion for evaluation of projects for CPRIT support.

### **8.3.2. Secondary Criteria**

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

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

**Vertebrate Animals and/or Human Subjects:** If vertebrate animals and/or human biological samples are included in the proposed research, is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed? Note that certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

**Budget and Duration:** Are the budget and the duration appropriate for the proposed work?

## 9. KEY DATES

### RFA

RFA release August 26, 2019

### Application

Online application opens October 16, 2019, 7 AM central time

Application due January 15, 2020, 4 PM central time

Application review January 2020 to August 2020

### Award

Award notification August 19, 2020

Anticipated start date August 31, 2020

## 10. AWARD ADMINISTRATION

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. 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.

Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of award contract. Forms and instructions will be made available at [www.cprit.texas.gov](http://www.cprit.texas.gov).

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

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

## 12. CONTACT INFORMATION

### 12.1. Helpdesk

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

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

**Tel:** 866-941-7146

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

### 12.2. Scientific and Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior 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)**  
**20.2 Academic Research Council Basic Cancer Research - 2**  
**(20.2 ARC BCR-2)**  
**Observation Report**

Report No. 2020-04-17 20.2\_ARC\_BCR-2  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Basic Cancer Research - 2  
(20.2\_ARC\_BCR-2)  
Panel Date: 04-17-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Basic Cancer Research - 2 (20.2\_ARC\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted via teleconference on April 17, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Ten (10) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Eight (8)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Five (5)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: Two (2)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with the COI was not discussed.

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**

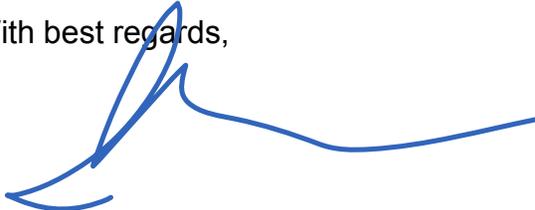
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**20.2 Academic Research Council Cancer Prevention**  
**Research (20.2 ARC CPR)**  
**Observation Report**

Report No. 2020-04-20 20.2\_ARC\_CPR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Prevention Research  
(20.2\_ARC\_CPR)  
Panel Date: 04-20-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Prevention Research (20.2\_ARC\_CPR) meeting. The meeting was chaired by Nagi Kumar and Electra Paskett and conducted via teleconference on April 20, 2020. Reviewer William Barlow acted as Chair for one application.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed and ten (10) were not discussed
- Panelists: Two (2) panel chairs, twelve (12) expert reviewers, and two (2) advocate reviewers. One expert reviewer acted as panel chair for one application.
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were two (2) Conflicts of Interest (COI) identified prior to and/or during the meeting. One COI was excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

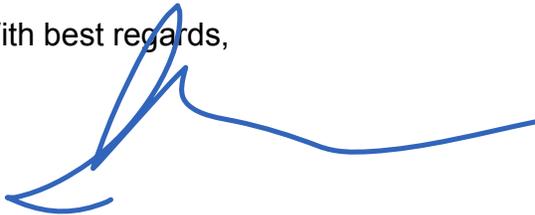
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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.

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Senior Partner  
Business & Financial Management Solutions, LLC

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**20.2 Academic Research Council Imaging Technology and**  
**Informatics (20.2 ARC ITI)**  
**Observation Report**

Report No. 2020-04-21 20.2\_ARC\_ITI  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI)  
Panel Date: 04-21-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Imaging Technology and Informatics (20.2\_ARC\_ITI) meeting. The meeting was chaired by Martin Pomper and Anna Wu and conducted via teleconference on April 21, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and fourteen (14) were not discussed
- Panelists: Two (2) panel chairs, fourteen (14) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There were four (4) Conflicts of Interest (COI) identified prior to and/or during the meeting. Three COIs were excluded from discussions concerning applications for which there was a conflict. One application with a COI was not discussed.

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**

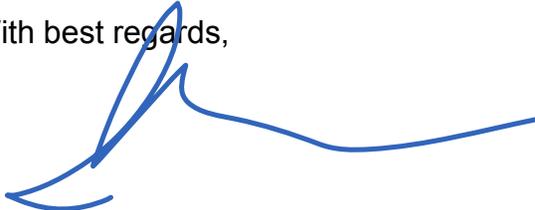
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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.

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With best regards,

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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**20.2 Academic Research Council Cancer Biology**  
**(20.2 ARC CB)**  
**Observation Report**

Report No. 2020-04-22 20.2\_ARC\_CB  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB)  
Panel Date: 04-22-2020  
Report Date: 05-21-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Cancer Biology (20.2\_ARC\_CB) meeting. The meeting was chaired by Peter Jones and conducted via teleconference on April 22, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-two (22) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers, and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- 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
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflicts of Interest (COI) identified prior to and/or during the meeting. The COI was excluded from discussions concerning the application 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**

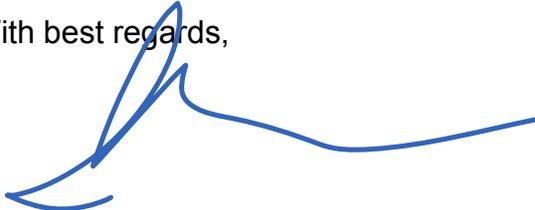
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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.

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With best regards,

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

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



**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**20.2 Academic Research Council Clinical and Translational**  
**Cancer Research (20.2 ARC CTCR)**  
**Observation Report**

Report No. 2020-04-23 20.2\_ARC\_CTCR  
Program Name: Academic Research  
Panel Name: 20.2 Academic Research Council Clinical and Translational Cancer  
Research (20.2\_ARC\_CTCR)  
Panel Date: 04-23-2020  
Report Date: 05-22-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the 20.2 Academic Research Council Clinical and Translational Cancer Research (20.2\_ARC\_CTCR) meeting. The meeting was chaired by Margaret Tempero and conducted via teleconference on April 23, 2020.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Sixteen (16) applications were discussed and fifteen (15) were not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers, and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: One (1)
- CPRIT Oversight Committee Members did not actively participate in the meeting

There was one (1) Conflict of Interest (COI) identified prior to and/or during the meeting. The application with a COI was not discussed.

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**

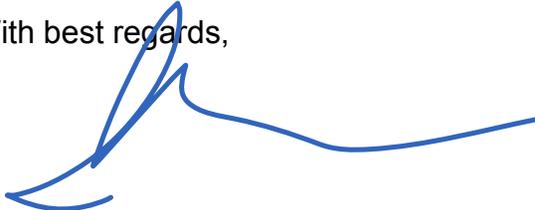
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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

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

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



## **Cancer Prevention and Research Institute of Texas (CPRIT)** **Scientific Review Council 20.2 (SRC 20.2) Observation Report**

Report No. 2020-07-09 SRC 20.2  
Program Name: Academic Research  
Panel Name: Scientific Review Council 20.2 (SRC\_20.2)  
Panel Date: 07-09-2020  
Report Date: 07-15-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Scientific Review Council 20.2 (SRC\_20.2) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on July 9, 2020.

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-eight (28) applications were reviewed
- Panelists: One (1) panel chair, five (5) expert reviewers and one additional reviewer was present but did not participate
- 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) Conflicts of Interests (COIs) identified prior to and/or during the meeting.

A list of all attendees and a sign-in log were provided by GDIT to aid in the observation of the COI procedures and objectives. BFS compiled informational materials from previous meetings to determine applications reviewed. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

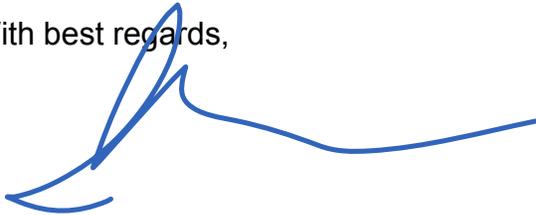
## **CONCLUSION**

In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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.

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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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.2 Applications

#### Academic Research Cycle 20.2 Awards Announced at August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.2 include *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards*; *Early Clinical Investigator Award*; *Core Facility Support Awards*; and *High-Impact/High-Risk Research Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200604	Robert Chapkin	Texas AgriLife Research	Eric Fearon
RP200614	Kevin Pinney	Baylor University	Martin Pomper
<b>Applications not considered by the PIC or Oversight Committee:</b>			
RP200570*	Gerardo Cisneros	University of North Texas	Matthew Weitzman
RP200524*	Manal Hassan	The University of Texas M. D. Anderson Cancer Center	Alexander Parker
RP200537	Aaron Thrift	Baylor College of Medicine	Christopher Haiman
RP200628*	Hasan Zaki	The University of Texas Southwestern Medical Center	Victor Engelhard
RP200538*	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP200607	Han Xiao	Rice University	Jason Lewis
RP200634	Georgios Alexandrakis	The University of Texas at Arlington	Arion- Xenofon Chatziioannou

\* Not discussed

# **De-Identified Overall Evaluation Scores**

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## High-Impact/High-Risk Research Awards

### Academic Research Cycle 20.2

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

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

Application ID	Final Overall Evaluation Score
RP200532*	1.9
RP200604*	2.0
RP200520*	2.1
RP200573*	2.2
RP200655*	2.5
RP200614*	2.5
RP200574*	2.6
RP200595*	2.7
RP200509*	2.7
la	2.8
lb	2.8
RP200657*	2.9
RP200617*	2.9
RP200650*	2.9
ic	3.0
RP200612*	3.1
RP200620*	3.2
RP200615*	3.4
RP200593*	3.6
id	3.6
RP200526*	3.7
le	3.7
lf	3.7
lg	3.8
lh	3.8

\* Recommended for CPRIT award

Application ID	Final Overall Evaluation Score
li	3.9
lj	4.0
lk	4.0
ll	4.0
lm	4.0
ln	4.0
lo	4.0
lp	4.0
lq	4.0
lr	4.0
ls	4.0
lt	4.2
lu	4.2
lv	4.3
lw	4.3
lx	4.3
ly	4.3
lz	4.3
Ja	4.3
Jb	4.3
Jc	4.3
Jd	4.3
Je	4.3
Jf	4.3
Jg	4.3
Jh	4.3
Ji	4.3
Jj	4.3
Jk	4.3
Jl	4.4
Jm	4.4
Jn	4.5
Jo	4.7
Jp	4.7
Jq	4.7
Jr	4.7
Js	4.7
Jt	4.7
Ju	4.7
Jv	4.7
Jx	4.7

\* Recommended for CPRIT award

20.2 High-Impact/High-Risk Research Awards

Application ID	Final Overall Evaluation Score
Jy	4.8
Jz	5.0
Ka	5.0
Kb	5.0
Kc	5.0
Kd	5.0
Ke	5.0
Kf	5.0
Kg	5.0
Kh	5.0
Ki	5.0
Kj	5.0
Kk	5.3
Kl	5.3
Km	5.3
Kn	5.3
Ko	5.3
Kp	5.3
Kq	5.3
Kr	5.3
Ks	5.3
Kt	5.4
Ku	5.7
Kv	5.7
Kw	5.7
Kx	5.7
Ky	5.7
Kz	5.7
La	5.7
Lb	5.7
Lc	6.0
Ld	6.0
Le	6.0
Lf	6.3
Lg	6.3
Lh	6.3
Li	7.0
Ij	7.3

\* Recommended for CPRIT award

20.2 High-Impact/High-Risk Research Awards

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

---

**Ludwig Institute for  
Cancer Research Ltd**

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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

**San Diego Branch**

UC San Diego School of  
Medicine  
CMM-East / Rm 3058  
9500 Gilman Dr - MC 0660  
La Jolla, CA 92093-0660

T 858 534 7804  
F 858 534 7750

July 16, 2020

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 research grant recommendations for Collaborative Action Plan: Research Awards (CAP:RA), Core Facility Support Awards (CFSA), Early Clinical Investigator Awards (ECI), High-Impact/High Risk Awards (HIHR).

The SRC met on July 9, 2020 to consider the applications recommended by the peer review panels following their meetings that were held April 17, 2020 – April 23, 2020.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$32,465,430.

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

Sincerely yours,



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

Rank	ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200668	CFSA	1.1	The Combinatorial Drug Discovery Program (CDDP)	Davies, Peter	Texas A&M University System Health Science Center	\$3,989,892
2	RP200554	CAP-RA	1.2	A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality	Singal, Amit	The University of Texas Southwestern Medical Center	\$2,499,995
3	RP200584	ECI	1.4	CPRIT Early-Career Clinical Investigator Award for Applicant: Premal Lulla, MD	Dickinson, Mary	Baylor College of Medicine	\$1,500,000
4	RP200619	CFSA	1.8	CPRIT RNA Therapeutics Core	Cooke, John	The Methodist Hospital Research Institute	\$3,999,995
5	RP200549	ECI	1.8	Enhancing Neoantigen Expression and Immune Checkpoint Inhibitor Response Using Splicing Modulators in Hepatocellular Carcinoma	Arteaga, Carlos	The University of Texas Southwestern Medical Center	\$1,499,998
6	RP200669	ECI	1.8	CPRIT Early Clinical Investigator Award: Chad Tang	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,499,996
7	RP200532	HIHRRRA	1.9	Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Antitumor Immunity	Lissanu Deribe, Yonathan	The University of Texas M. D. Anderson Cancer Center	\$249,992

8	RP200604	HIHRRRA	2.0	Targeting Plasma Membrane Spatial Dynamics to Suppress Obesity-Induced Colon Cancer	Chapkin, Robert	Texas AgriLife Research	\$250,000
9	RP200520	HIHRRRA	2.1	Developing Single-Cell RNAseq-Based Genetic Screens to Identify Novel Targets for Cancer Immunotherapy	Peng, Weiyi	University of Houston	\$250,000
10	RP200573	HIHRRRA	2.2	Low-Cost Nonconventional Ultralow-Field MRI Scanner for the Next-Generation MR-Guided Radiation Therapy	Jia, Xun	The University of Texas Southwestern Medical Center	\$250,000
11	RP200504	CFSA	2.3	Comprehensive Cancer Epigenomics Core Facility	Chen, Rui	Baylor College of Medicine	\$3,999,943
12	RP200670	ECI	2.5	Early Clinical Investigator Award: Nicolas Palaskas	Draetta, Gulio	The University of Texas M. D. Anderson Cancer Center	\$1,491,551
13	RP200614	HIHRRRA	2.5	Novel Betabody-Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads	Pinney, Kevin	Baylor University	\$250,000
14	RP200655	HIHRRRA	2.5	A Novel Organoid Platform to Modulate Human Neural Networks Integrated With Glioblastoma Stem Cells	Krencik, Robert	The Methodist Hospital Research Institute	\$249,372

15	RP200574	HIHRRRA	2.6	Targeting B Cells to Enhance Responses to Immune Checkpoint Blockade	Wargo, Jennifer	The University of Texas M. D. Anderson Cancer Center	\$249,755
16	RP200509	HIHRRRA	2.7	Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Nonalcoholic Fatty Livers	Tsai, Robert	Texas A&M University System Health Science Center	\$250,000
17	RP200595	HIHRRRA	2.7	SERBP1, Epigenetic Regulation and Glioblastoma Targeting	Penalva, Luiz	The University of Texas Health Science Center at San Antonio	\$249,968
18	RP200633	CAP-RA	2.8	Reducing Disparities in the Risk of Hepatocellular Cancer	KANWAL, FASIHA	Baylor College of Medicine	\$2,434,495
19	RP200537	CAP-RA	2.9	Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics	Thrift, Aaron	Baylor College of Medicine	\$2,473,314
20	RP200657	HIHRRRA	2.9	Screening for Melanoma Genes Using Natural Hybrid Incompatibilities	Schartl, Manfred	Texas State University - San Marcos	\$248,458
21	RP200617	HIHRRRA	2.9	Pathological Role of Neuronal Cell Cycle Reentry in the Development of Chemotherapy-Induced Peripheral Neuropathy	Lee, Hyoung-gon	The University of Texas at San Antonio	\$250,000
22	RP200650	HIHRRRA	2.9	Characterization of Salmonella Tumor-Targeting Mechanisms and Oncolytic Potential	Kenney, Linda	The University of Texas Medical Branch at Galveston	\$250,000

23	RP200612	HIHRRRA	3.1	Elucidating Premetastatic Niches at Single-Cell Resolution	Giancotti, Filippo	The University of Texas M. D. Anderson Cancer Center	\$249,996
24	RP200620	HIHRRRA	3.2	Targeting Fatty Acid Synthesis in NAFLD-Related HCC	Dong, Bingning	Baylor College of Medicine	\$250,000
25	RP200615	HIHRRRA	3.4	Small RNA Nanovector-Based Targeted Immunotherapy for Glioblastoma	Lee, Tae Jin	The University of Texas Health Science Center at Houston	\$250,000
26	RP200572	CFSA	3.6	From Whole-Animal Imaging to Superresolution Microscopy: An Imaging Core for the TTUHSC Campus at Amarillo	Bickel, Ulrich	Texas Tech University Health Sciences Center	\$2,831,213
27	RP200593	HIHRRRA	3.6	High-Throughput Nondestructive Enumeration and Characterization of CTCs in Whole Blood by a Thin Film "Tactile" Microfluidics and Holographic Interferometry	Sheng, Jian	Texas A&M University - Corpus Christi	\$247,703
28	RP200526	HIHRRRA	3.7	Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma	Zhu, Jay-Jiguang	The University of Texas Health Science Center at Houston	\$249,794



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycles 20.10-20.12**  
*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)

# Third Party Observer Reports

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**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**Academic Research Council Recruitment Review Panel -**  
**20.10 (ARC REC 20.10)**  
**Observation Report**

Report No. 2020-05-14 ARC\_REC\_20.10  
Program Name: Academic Research  
Panel Name: Academic Research Council Recruitment Review Panel - 20.10  
(ARC\_REC\_20.10)  
Panel Date: 05-14-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Academic Research Council Recruitment Review Panel - 20.10 (ARC\_REC\_20.10) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on May 14, 2020.

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

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed
- Panelists: One (1) panel chair, and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: 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 was one (1) Conflict of Interest (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.

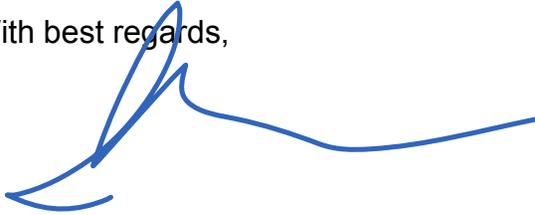
## **CONCLUSION**

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

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)**  
**Academic Research Council Recruitment Review Panel 20.11**  
**(REC 20.11) Observation Report**

Report No. 2020-06-11 ARC\_REC\_20.11  
Program Name: Academic Research  
Panel Name: Academic Research Council Recruitment Review Panel 20.11  
(ARC\_REC\_20.11)  
Panel Date: 06-11-2020  
Report Date: 06-17-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the Academic Research Council Recruitment Review Panel 20.11 (ARC\_REC\_20.11) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on June 11, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twelve (12) applications were discussed, one (1) additional application not on the agenda was 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) Conflicts of Interests (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. Our observations are limited to the information available.

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)** **Academic Research Council Recruitment Review Panel 20.12** **(REC 20.12) Observation Report**

Report No. 2020-07-09 ARC\_REC\_20.12  
Program Name: Academic Research  
Panel Name: Academic Research Council Recruitment Review Panel 20.12  
(ARC\_REC\_20.12)  
Panel Date: 07-09-2020  
Report Date: 07-15-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Academic Research Council Recruitment Review Panel 20.12 (ARC\_REC\_20.12) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on July 9, 2020.

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

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) 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) Conflicts of Interests (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.

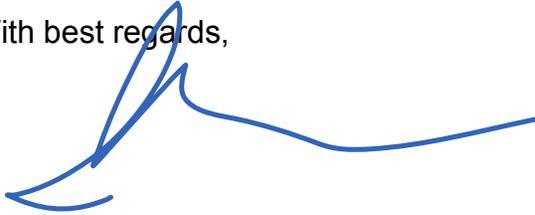
## **CONCLUSION**

In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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

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

With best regards,

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

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

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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research Recruitment 20.10-20.12 Applications

### Academic Research Recruitment 20.10-20.12 Awards Announced at August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycles 20.10-20.12 include *Recruitment of Rising Stars*; *Recruitment of First-Time, Tenure-Track Faculty Members*; and *Recruitment of Established Investigators*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RR200084	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	M. Brown
<b>Applications not considered by the PIC or Oversight Committee:</b>			
No Conflicts Reported.			

# **T.A.C. Section 702.19 Waiver**

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**SUBJECT:** T.A.C. § 702.19 WAIVER  
**DATE:** JULY 7, 2020

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**Summary**

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Dr. Jim Willson, CPRIT's Chief Scientific Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is applicable to communications regarding application RR200081. No Oversight Committee action related to this waiver is necessary.

**Background and Discussion**

The Chief Scientific Officer is a statutorily mandated member of the Program Integration Committee (PIC). Texas Administrative Code § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

An issue regarding recruitment application RR200081, which is currently under review for a grant award, requires more information from the institution submitting the application. After consultation with CPRIT's General Counsel, I authorize this waiver so that Dr. Willson may communicate with the grant applicant institution and receive additional information that may be critical to making a final award recommendation to the PIC and the Oversight Committee in August.

Approving this waiver does not favor any grant applicant over another. The Oversight Committee does not need to take any action regarding this waiver. Dr. Willson's waiver will be part of the grant record for the FY 2020 recruitment grant applications.

# **De-Identified Overall Evaluation Scores**

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## Recruitment of Established Investigators

Academic Research Recruitment Cycles 20.10-20.12

Application ID	Final Overall Evaluation Score
RR200093*	1.0
a <sup>1</sup>	1.4
RR200112*	2.0
b	3.2
c	3.0
d	3.0
e	3.0
f	3.6
g	3.8
h	4.0

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<sup>1</sup> This application was withdrawn by the applicant.

\* Recommended for CPRIT award

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

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San Diego

Ludwig Institute for  
Cancer Research Ltd

Richard D. Kolodner  
Ph.D.

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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

San Diego Branch

UC San Diego School of  
Medicine  
CMM-East / Rm 3058  
9500 Gilman Dr - MC 0660  
La Jolla, CA 92093-0660

T 858 534 7804  
F 858 534 7750

July 16, 2020

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 May 14, 2020 (REC Cycle 20.10), June 11, 2020 (REC Cycle 20.11) and on July 9, 2020 (REC Cycle 20.12) 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 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 \$29,997,660. Note that application #RR200081 was withdrawn prior the the Program Intergation 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

Rank	ID	Award Mechanism	Candidate	Organization	Recommended Budget	Overall Score
1	RR200079	RFTFM	Di Stefano, Bruno	Baylor College of Medicine	\$2,000,000	1.0
2	RR200080	RFTFM	Huang, Pengxiang	Baylor College of Medicine	\$2,000,000	1.0
3	RR200084	RFTFM	Zeng, Xing	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
4	RR200076	RFTFM	Pillon, Monica	Baylor College of Medicine	\$2,000,000	1.0
5	RR200095	RFTFM	Chen, Jin	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
6	RR200093	REI	Pollard, Jeffrey	The Methodist Hospital Research Institute	\$5,997,660	1.0
7	RR200090	RFTFM	Gruber, Joshua	The University of Texas Southwestern Medical Center	\$2,000,000	1.3
8	RR200063	RFTFM	Li, Hongjie	Baylor College of Medicine	\$2,000,000	2.0
9	RR200089	RFTFM	Zhao, Peng	The University of Texas Health Science Center at San Antonio	\$2,000,000	2.0
10	RR200108	RFTFM	Sandstrom, Andrew	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
11	RR200112	REI	Gius, David	The University of Texas Health Science Center at San Antonio	\$6,000,000	2.0

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



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INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycles 20.10-20.12**  
*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)

# Third Party Observer Reports

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**Cancer Prevention and Research Institute of Texas (CPRIT)**  
**Academic Research Council Recruitment Review Panel -**  
**20.10 (ARC REC 20.10)**  
**Observation Report**

Report No. 2020-05-14 ARC\_REC\_20.10  
Program Name: Academic Research  
Panel Name: Academic Research Council Recruitment Review Panel - 20.10  
(ARC\_REC\_20.10)  
Panel Date: 05-14-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Academic Research Council Recruitment Review Panel - 20.10 (ARC\_REC\_20.10) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on May 14, 2020.

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

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed
- Panelists: One (1) panel chair, and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: 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 was one (1) Conflict of Interest (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. Our observations are limited to the information available.

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)**  
**Academic Research Council Recruitment Review Panel 20.11**  
**(REC 20.11) Observation Report**

Report No. 2020-06-11 ARC\_REC\_20.11  
Program Name: Academic Research  
Panel Name: Academic Research Council Recruitment Review Panel 20.11  
(ARC\_REC\_20.11)  
Panel Date: 06-11-2020  
Report Date: 06-17-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the Academic Research Council Recruitment Review Panel 20.11 (ARC\_REC\_20.11) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on June 11, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twelve (12) applications were discussed, one (1) additional application not on the agenda was 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) Conflicts of Interests (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.

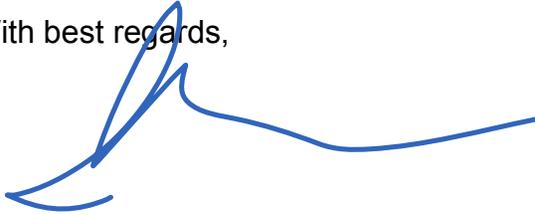
## **CONCLUSION**

In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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)**  
**Academic Research Council Recruitment Review Panel 20.12**  
**(REC 20.12) Observation Report**

Report No. 2020-07-09 ARC\_REC\_20.12  
Program Name: Academic Research  
Panel Name: Academic Research Council Recruitment Review Panel 20.12  
(ARC\_REC\_20.12)  
Panel Date: 07-09-2020  
Report Date: 07-15-2020

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the Academic Research Council Recruitment Review Panel 20.12 (ARC\_REC\_20.12) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on July 9, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) 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) Conflicts of Interests (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.

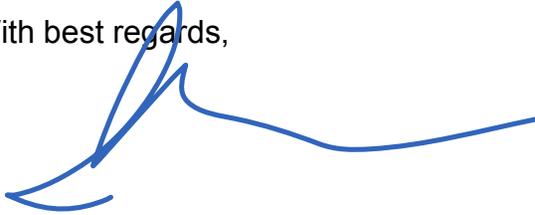
## **CONCLUSION**

In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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

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

With best regards,



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

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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research Recruitment 20.10-20.12 Applications

### Academic Research Recruitment 20.10-20.12 Awards Announced at August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Recruitment Cycles 20.10-20.12 include *Recruitment of Rising Stars*; *Recruitment of First-Time, Tenure-Track Faculty Members*; and *Recruitment of Established Investigators*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RR200084	W. P. Andrew Lee	The University of Texas Southwestern Medical Center	M. 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 First-Time, Tenure-Track Faculty Members

Academic Research Recruitment Cycles 20.10-20.12

Application ID	Final Overall Evaluation Score
RR200079*	1.0
RR200080*	1.0
RR200076*	1.0
RR200095*	1.0
RR200084*	1.0
RR200090*	1.3
RR200063*	2.0
RR200089*	2.0
RR200108*	2.0
aa	2.8
ab	3.0
ac	3.2
ad	3.2
ae	3.2
af	3.5
ag	3.6
ah	3.7
ai	3.7
aj	3.8

\* Recommended for CPRIT award

20.10-20.12 Recruitment of First-Time, Tenure-Track Faculty Members

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

---

San Diego

Ludwig Institute for  
Cancer Research Ltd

Richard D. Kolodner  
Ph.D.

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

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

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San Diego Branch

UC San Diego School of  
Medicine  
CMM-East / Rm 3058  
9500 Gilman Dr - MC 0660  
La Jolla, CA 92093-0660

T 858 534 7804  
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July 16, 2020

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 May 14, 2020 (REC Cycle 20.10), June 11, 2020 (REC Cycle 20.11) and on July 9, 2020 (REC Cycle 20.12) 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 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 \$29,997,660. Note that application #RR200081 was withdrawn prior the the Program Intergation 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

Rank	ID	Award Mechanism	Candidate	Organization	Recommended Budget	Overall Score
1	RR200079	RFTFM	Di Stefano, Bruno	Baylor College of Medicine	\$2,000,000	1.0
2	RR200080	RFTFM	Huang, Pengxiang	Baylor College of Medicine	\$2,000,000	1.0
3	RR200084	RFTFM	Zeng, Xing	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
4	RR200076	RFTFM	Pillon, Monica	Baylor College of Medicine	\$2,000,000	1.0
5	RR200095	RFTFM	Chen, Jin	The University of Texas Southwestern Medical Center	\$2,000,000	1.0
6	RR200093	REI	Pollard, Jeffrey	The Methodist Hospital Research Institute	\$5,997,660	1.0
7	RR200090	RFTFM	Gruber, Joshua	The University of Texas Southwestern Medical Center	\$2,000,000	1.3
8	RR200063	RFTFM	Li, Hongjie	Baylor College of Medicine	\$2,000,000	2.0
9	RR200089	RFTFM	Zhao, Peng	The University of Texas Health Science Center at San Antonio	\$2,000,000	2.0
10	RR200108	RFTFM	Sandstrom, Andrew	The University of Texas Southwestern Medical Center	\$2,000,000	2.0
11	RR200112	REI	Gius, David	The University of Texas Health Science Center at San Antonio	\$6,000,000	2.0

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



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 1**  
***Individual Investigator Research Awards***

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA R-20.1-IIRA**

**Individual Investigator Research Awards**

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

**Application Receipt Opening Date:** March 7, 2019

**Application Receipt Closing Date:** June 5, 2019

**FY 2020**

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

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## **RFA VERSION HISTORY**

Rev 1/10/19 RFA release

## **1. ABOUT CPRIT**

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

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

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

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

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

Established Principles:

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

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

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

## **2. RATIONALE**

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

## **3. RESEARCH OBJECTIVES**

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

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

#### **4. FUNDING INFORMATION**

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

#### **5. ELIGIBILITY**

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

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

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

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

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

## 6. RESUBMISSION POLICY

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

## 7. RENEWAL POLICY

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

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

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

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

### **8.1.1. Submission Deadline Extension**

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

## **8.2. Application Components**

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

### **8.2.1. Abstract and Significance (5,000 characters)**

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

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

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

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

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

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

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

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

### **8.2.3. Goals and Objectives**

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

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

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

If the application is approved for funding, this section will be included in the award contract.

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

### **8.2.5. Resubmission Summary (2 pages)**

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

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

### **8.2.6. Renewal Summary (2 pages)**

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

### **8.2.7. Research Plan (10 pages)**

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

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

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

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

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

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

### **8.2.9. Publications/References**

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

### **8.2.10. Budget and Justification**

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

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

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

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

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

### **8.2.11. Biographical Sketches (5 pages each)**

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

### **8.2.12. Current and Pending Support**

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

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

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

### **8.2.14. Previous Summary Statement**

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

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

### 8.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

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

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

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

## 9. APPLICATION REVIEW

### 9.1. Preliminary Evaluation

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

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

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

### 9.2. Full Peer Review

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

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

### **9.3. Confidentiality of Review**

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

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

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

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

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

## 9.4. Review Criteria

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

### 9.4.1. Primary Criteria

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

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

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

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

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

### 9.4.2. Secondary Criteria

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

Secondary criteria include the following:

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

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

**Budget:** Is the budget appropriate for the proposed work?

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

## 10. KEY DATES

### RFA

RFA release January 10, 2019

### Application

Online application opens March 7, 2019, 7 AM central time

Application due June 5, 2019, 4 PM central time

Application review June 2019–February 2020

### Award

Award notification February 2020

Anticipated start date March 1, 2020

## 11. AWARD ADMINISTRATION

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

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

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

Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding demonstration of available funding. The demonstration of available matching funds must be made at the time the award contract is executed, and annually thereafter, not when the application is submitted.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

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

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

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](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)**  
**Basic Cancer Research - 2 Peer Review Meeting**  
**(20.1 ACR BCR-2)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 2 Peer Review Meeting (20.1\_ACR\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 2019.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

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

### **CONCLUSION**

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

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

additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

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)**  
**Basic Cancer Research - 1 Peer Review Meeting**  
**(20.1 ACR BCR-1)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 1 Peer Review Meeting (20.1\_ACR\_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 2019.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

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

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

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

### **CONCLUSION**

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

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

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

With best regards,

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)**  
**Cancer Biology (CB) Peer Review Meeting (20.1 ACR CB)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Biology (CB) Peer Review Meeting (20.1\_ACR\_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 2019.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

### **CONCLUSION**

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

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

additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, consisting of a series of loops and a long horizontal stroke 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)**  
**Cancer Prevention Research (CPR) Peer Review Meeting**  
**(20.1 ACR CPR)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Cancer Prevention Research (CPR) Peer Review Meeting (20.1\_ACR\_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 2019.

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

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

## **CONCLUSION**

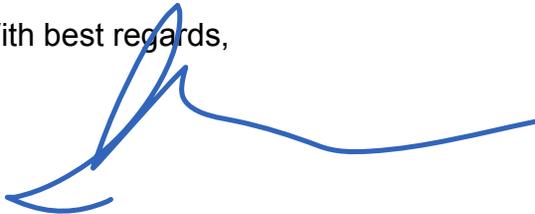
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and

scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, consisting of a series of loops and a long horizontal stroke 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)**  
**Imaging Technology and Informatics (ITI) Peer Review**  
**Meeting (20.1 ACR ITI)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1\_ACR\_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 2019.

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

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

### **CONCLUSION**

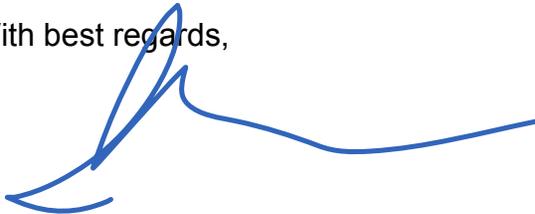
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

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)**  
**Clinical & Translational Cancer Research (C/TCR) Peer**  
**Review Meeting (20.1 ACR C/TCR)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1\_ACR\_C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 2019.

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

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

### **CONCLUSION**

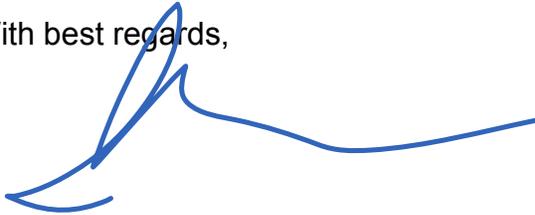
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

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)

### Scientific Review Council (SRC 20.1)

#### Observation Report

Report No. 2019-12-12 SRC\_20.1  
Program Name: Academic Research  
Panel Name: Scientific Review Council (SRC\_20.1)  
Panel Date: 12-12-2019  
Report Date: 12-17-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Scientific Review Council (SRC\_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 2019.

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Forty-nine (49) applications were discussed
- Panelists: One (1) panel chair and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

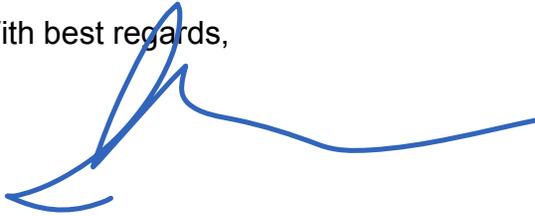
## **CONCLUSION**

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

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

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

With best regards,

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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.1 Applications

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

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Clinical Translation*, and *Individual Investigator Research Awards for Prevention and Early Detection*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon; Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

# **De-Identified Overall Evaluation Scores**

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# Individual investigator Research Awards

Academic Research Cycle 20.1

## Final Scores for Fully Reviewed Applications

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

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

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

\* = Approved for award on Feb. 19, 2020.

\*\* = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) on Feb. 4, 2020, to a future FY2020 PIC meeting date. Recommended by the PIC on Aug. 4, 2020.

Application ID	Final Overall Evaluation Score
RP200287*	2.5
RP200181*	2.5
RP200047*	2.6
RP200118*	2.6
RP200439*	2.7
RP200472**	2.8
RP200464**	2.8
gc	2.8
RP200242**	2.9
RP200254**	2.9
Gf	2.9
Gh	2.9
RP200327**	3.0
RP200385**	3.0
RP200166**	3.1
RP200240**	3.1
Gm	3.2
Gn	3.3
Ho	3.3
Gp	3.3
Gq	3.3
Gr	3.3
Gs	3.3
Gt	3.3
Gu	3.3
Gv	3.3
Gw	3.3
Gx	3.3
Gy	3.3
Gz	3.3
Gw	3.3
Gx	3.3
Gy	3.3
Gz	3.4
Ha	3.4
Hb	3.4
Hc	3.5
Hd	3.5
He	3.5
Hf	3.6

\* = Approved for award on Feb. 19, 2020.

\*\* = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) on Feb. 4, 2020, to a future FY2020 PIC meeting date. Recommended by the PIC on Aug. 4, 2020.

Application ID	Final Overall Evaluation Score
Hg	3.6
Hh	3.7
Hi	3.7
Hj	3.7
Hk	3.7
Hi	3.7
Hm	3.7
Hn	3.7
Ho	3.7
Hp	3.7
Hq	3.7
Hr	3.7
Hs	3.7
Ht	3.7
Hu	3.7
Hv	3.7
Hw	3.7
Hx	3.8
Hy	3.8
Hz	3.8
Hw	3.9
Hx	3.9
Hy	3.9
Hz	3.9
la	4.0
lb	4.0
lc	4.0
ld	4.0
le	4.0
lf	4.0
lg	4.0
lh	4.0
li	4.0
lj	4.0
lk	4.0
ll	4.0
lm	4.0
ln	4.0
lo	4.0
lp	4.0

\* = Approved for award on Feb. 19, 2020.

\*\* = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) on Feb. 4, 2020, to a future FY2020 PIC meeting date. Recommended by the PIC on Aug. 4, 2020.

Application ID	Final Overall Evaluation Score
lq	4.0
lr	4.0
ls	4.0
lt	4.0
lu	4.1
lv	4.1
lw	4.3
lx	4.3
ly	4.3
lz	4.3
Ja	4.3
Jb	4.3
Jc	4.3
Jd	4.3
Je	4.3
Jf	4.3
Jg	4.3
Jh	4.3
Ji	4.3
Jj	4.3
Jk	4.3
Jl	4.3
Jm	4.4
Jn	4.4
Jo	4.6
Jp	4.6
Jq	4.6
Jr	4.7
Js	4.7
Jt	4.7
Ju	4.7
Jv	5.0
Jw	5.0
Jx	5.0
Jy	5.0
Jz	5.0
Ka	5.3
Kb	5.3
Kc	5.3
Kd	5.3

\* = Approved for award on Feb. 19, 2020.

\*\* = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) on Feb. 4, 2020, to a future FY2020 PIC meeting date. Recommended by the PIC on Aug. 4, 2020.

Application ID	Final Overall Evaluation Score
Ke	5.3
Kf	5.3
Kg	5.5
Kh	5.7
Ki	5.7
Kj	5.7
Kk	5.7
Kl	5.7
Km	5.7
kn	5.7

\* = Approved for award on Feb. 19, 2020.

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## Individual Investigator Research Awards

Academic Research Cycle 20.1

### Final Scores for Preliminary Evaluation

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

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

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

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

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

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San Diego

**Ludwig Institute for  
Cancer Research Ltd**

January 17, 2020

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

Head, Laboratory of  
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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@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 research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

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

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

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

Sincerely yours,



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

Attachment

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

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

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

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

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

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

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



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

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

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA R-20.1-IIRACCA**

**Individual Investigator Research Awards for  
Cancer in Children and Adolescents**

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

**Application Receipt Opening Date:** March 7, 2019

**Application Receipt Closing Date:** June 5 2019

**FY 2020**

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

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## **RFA VERSION HISTORY**

Rev 1/10/19 RFA release

## **1. ABOUT CPRIT**

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

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

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

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

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

Established Principles:

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

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

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

- Expand access to innovative clinical trials

## **2. RATIONALE**

In recent decades, great strides have been made in reducing mortality from childhood cancers. Most of these gains have been realized in childhood leukemia and lymphoma. However, improvements in survival have been less robust in other types of childhood cancers, which make up more than 40% of total cancer cases in children and adolescents aged 0 to 19 years.

Furthermore, the overall incidence of pediatric cancer has increased at an annual rate of 0.6% since 1975, with most of the increases being seen in acute lymphocytic leukemia, brain and central nervous system tumors, non-Hodgkin's lymphoma, and testicular germ cell tumors.

Reasons for increases in these tumor types are unknown, indicating that information on the etiology of these cancers is urgently needed. Because of the high rates of survival for certain childhood and adolescent cancers, there are increasing numbers of survivors of such cancers living today. These individuals have a high rate of late effects from the cancer or its treatment, including the occurrence of additional cancers. Clearly, more effective, less toxic treatments are needed for these diseases. However, few new therapies have been developed in recent years.

Several reasons account for the paucity of new treatments, including the lack of interest on the part of pharmaceutical companies in developing treatments for cancers that account for only 1% of all cancer cases and the difficulty of collecting sufficient numbers of tumors for laboratory studies.

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

## **3. RESEARCH OBJECTIVES**

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

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

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

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

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

#### **4. FUNDING INFORMATION**

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

#### **5. ELIGIBILITY**

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

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

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

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

- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov).

## **6. RESUBMISSION POLICY**

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

## **7. RENEWAL POLICY**

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

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

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

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

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

#### **8.1.1. Submission Deadline Extension**

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

### **8.2. Application Components**

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

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

### **8.2.1. Abstract and Significance (5,000 characters)**

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

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

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

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

### **8.2.3. Goals and Objectives**

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

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

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

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

### **8.2.5. Resubmission Summary (2 Pages)**

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

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

### **8.2.6. Renewal Summary (2 pages)**

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

### **8.2.7. Research Plan (10 pages)**

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

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

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

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

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

### **8.2.9. Publications/References**

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

### **8.2.10. Budget and Justification**

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

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

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

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

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

### **8.2.11. Biographical Sketches (5 pages each)**

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research.

A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel

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

### **8.2.12. Current and Pending Support**

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

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

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

### **8.2.14. Previous Summary Statement**

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

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

## **8.3. Formatting Instructions**

Formatting guidelines for all submitted CPRIT applications are as follows:

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

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

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

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

## 9. APPLICATION REVIEW

### 9.1. Preliminary Evaluation

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

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

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

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

## **9.2. Full Peer Review**

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

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

## **9.3. Confidentiality of Review**

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

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

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

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

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

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

The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted.

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

#### **9.4. Review Criteria**

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

### 9.4.1. Primary Criteria

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

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

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

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

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

## 9.4.2. Secondary Criteria

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

Secondary criteria include the following:

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

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

**Budget:** Is the budget appropriate for the proposed work?

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

## 10. KEY DATES

### RFA

RFA release January 10, 2019

### Application

Online application opens March 7, 2019, 7 AM central time

Application due June 5, 2019, 4 PM central time

Application review June 2019–February 2020

### Award

Award notification February 2020

Anticipated start date March 1, 2020

## 11. AWARD ADMINISTRATION

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

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

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

demonstration of available matching funds must be made at the time the award contract is executed, and annually thereafter, not when the application is submitted.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

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

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

**Tel:** 866-941-7146

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

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

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

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](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)**  
**Basic Cancer Research - 2 Peer Review Meeting**  
**(20.1 ACR BCR-2)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 2 Peer Review Meeting (20.1\_ACR\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 2019.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

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

### **CONCLUSION**

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

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

additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

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)**  
**Basic Cancer Research - 1 Peer Review Meeting**  
**(20.1 ACR BCR-1)**  
**Observation Report**

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

***BACKGROUND***

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

***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 1 Peer Review Meeting (20.1\_ACR\_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

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

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

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

### **CONCLUSION**

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

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

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

With best regards,

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)**  
**Cancer Biology (CB) Peer Review Meeting (20.1 ACR CB)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Biology (CB) Peer Review Meeting (20.1\_ACR\_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 2019.

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

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

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

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

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

### **CONCLUSION**

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

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

additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, consisting of a stylized, cursive 'M' followed by a horizontal line that tapers 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)**  
**Cancer Prevention Research (CPR) Peer Review Meeting**  
**(20.1 ACR CPR)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Cancer Prevention Research (CPR) Peer Review Meeting (20.1\_ACR\_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 2019.

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

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

## **CONCLUSION**

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

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and

scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, consisting of a stylized, cursive 'M' followed by a horizontal line that tapers 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)**  
**Imaging Technology and Informatics (ITI) Peer Review**  
**Meeting (20.1 ACR ITI)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1\_ACR\_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 2019.

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

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

### **CONCLUSION**

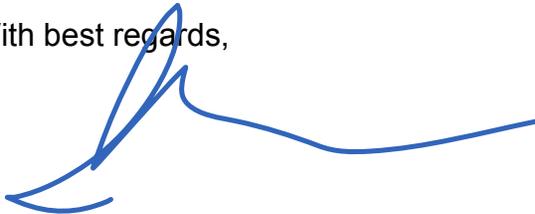
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

A handwritten signature in blue ink, consisting of a stylized, cursive 'M' followed by a horizontal line that tapers 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)**  
**Clinical & Translational Cancer Research (C/TCR) Peer**  
**Review Meeting (20.1 ACR C/TCR)**  
**Observation Report**

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

### ***BACKGROUND***

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

### ***INTRODUCTION***

The subject of this report is the Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1\_ACR\_C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 2019.

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

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

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

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

### **CONCLUSION**

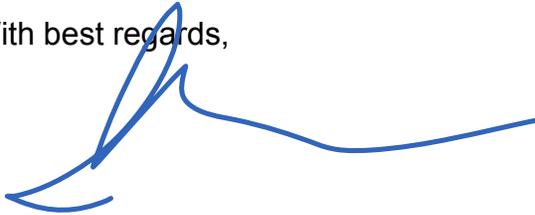
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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

With best regards,

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)

### Scientific Review Council (SRC 20.1)

#### Observation Report

Report No. 2019-12-12 SRC\_20.1  
Program Name: Academic Research  
Panel Name: Scientific Review Council (SRC\_20.1)  
Panel Date: 12-12-2019  
Report Date: 12-17-2019

#### ***BACKGROUND***

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

#### ***INTRODUCTION***

The subject of this report is the Scientific Review Council (SRC\_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 2019.

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

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

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

## **SUMMARY OF OBSERVATION RESULTS**

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

The independent observers noted the following during the meeting:

- Number (#) of applications: Forty-nine (49) applications were discussed
- Panelists: One (1) panel chair and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

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

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

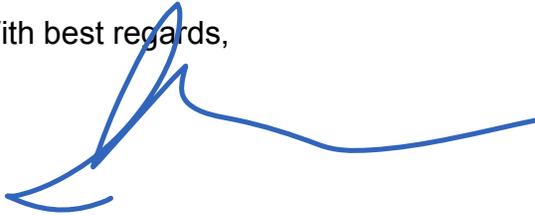
## **CONCLUSION**

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

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

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

With best regards,

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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.1 Applications

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

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Clinical Translation*, and *Individual Investigator Research Awards for Prevention and Early Detection*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon; Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

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

\*=not discussed

# **De-Identified Overall Evaluation Scores**

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# Individual investigator Research Awards for Cancer in Children and Adolescents

Academic Research Cycle 20.1

## Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP200103*	2.0
RP200110*	2.2
RP200381*	2.4
RP200432*	2.7
RP200058**	3.0
RP200135**	3.0
Lc	3.3
Ld	3.3
Le	3.7
Lf	3.8
Lg	3.9
Lh	4.0
Li	4.0
Lj	4.0
Lk	4.0
Ll	4.0
Lm	4.0
Ln	4.3
Lo	4.3
Lp	4.3
Lq	4.4
Lr	4.5
Ls	4.7
Lt	5.0
Lu	5.0
Lv	5.0
Lw	5.3
Lx	6.3

\* = Approved for award on Feb. 19, 2020.

\*\* = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) on Feb. 4, 2020, to a future FY2020 PIC meeting date. Recommended by the PIC on Aug. 4, 2020.

# Individual Investigator Research Awards for Cancer in Children and Adolescents

Academic Research Cycle 20.1

## Final Scores for Preliminary Evaluation

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

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

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

---

San Diego

**Ludwig Institute for  
Cancer Research Ltd**

January 17, 2020

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

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
Cellular & Molecular  
Medicine, University of  
California San Diego School  
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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@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 research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

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

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

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

Sincerely yours,



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

Attachment

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

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

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

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

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

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

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



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

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

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA R-20.1-IIRACT**

**Individual Investigator Research Awards**  
**for Clinical Translation**

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

**Application Receipt Opening Date:** March 7, 2019

**Application Receipt Closing Date:** June 5, 2019

**FY 2020**

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

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## **RFA VERSION HISTORY**

Rev 1/10/19 RFA release

## **1. ABOUT CPRIT**

The State of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Develop and implement the Texas Cancer Plan.

### **1.1. Academic Research Program Priorities**

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency with regard to how the Oversight Committee directs the orientation of the agency's funding portfolio.

Established Principles:

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

- Recruitment of outstanding cancer researchers to Texas
- Investment in core facilities
- A broad range of innovative, investigator-initiated research projects
- Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions
- Computational biology and analytic methods
- Childhood cancers
- Hepatocellular cancer
- Expand access to innovative clinical trials

## **2. RATIONALE**

This Individual Investigator Research Awards for Clinical Translation (IIRACT) mechanism will support the conduct of hypothesis-based studies of novel cancer therapies or devices in early-phase clinical trials or completed trials where the outcome is known. Such clinical trials offer important opportunities to incorporate biomarkers, pharmacokinetic and pharmacodynamic monitoring, and/or imaging studies to provide more precise knowledge about what works, in whom, and in which types of cancer and to guide subsequent clinical development of a novel cancer therapy.

The research supported by this mechanism is important because current clinical development of novel cancer therapeutics remains slow and expensive with many late-stage failures. Only 5% of cancer therapeutics that enter clinical evaluation will be approved, and the approval process is often measured in decades. There is an urgent need to accelerate and enhance the efficiency of this process by improving the clinical evaluation of novel cancer therapeutics through adoption of modern trial designs that incorporate biomarkers. Such trials will build on advances in basic discovery that have identified the critical targets involved in the hallmarks of cancer and have led to mechanism-based therapeutics. Trials that are designed to determine if predictors of response and efficacy identified in preclinical models also occur in patients have the potential to accelerate therapeutic development and approvals. They also guide the development of diagnostic tests to identify those patients most likely to benefit from these new treatments. Well-conducted early-phase studies will also inform reasons for treatment failure and feed back to preclinical studies designed to overcome barriers to success identified in patients.

## **3. RESEARCH OBJECTIVES**

The goal of the IIRACT Award is to promote clinical research that will lead to a better understanding of the clinical efficacy of a cancer therapy or diagnostic device. Applications submitted under this mechanism should propose innovative clinical studies that are hypothesis driven and involve patients enrolled prospectively on a clinical trial or involve analyses of biospecimens from patients enrolled on a completed trial for which the outcomes are known.

Clinical studies of new or repurposed drugs, hormonal therapies, immune therapies, surgery, radiation therapy, stem cell transplantation, combinations of interventions, or therapeutic devices are all responsive to this Request for Applications (RFA).

Applications that propose the development and validation of a biomarker (biospecimen derived from patient tissue or biofluid) or an imaging biomarker are responsive to this RFA provided that the research plan includes validation steps that involve patients treated on a clinical trial.

Early-phase clinical trials of agents or combinations of agents for which there are robust nonclinical data that suggest there may be clinical activity are responsive to the RFA, even if there is no biomarker, as long as the early-phase clinical trial will lead to determining if the activity observed in the laboratory can be replicated in patients.

Additional examples of the types of studies appropriate for the IIRACT award include, but are not limited to, the following:

- Exploratory, phase 1, or small phase 2 trials of new agents, repurposed agents, radiation therapy, surgery, or combinations of interventions where the trial design incorporates biomarker and/or imaging strategies to determine one or more of the following: presence of the drug target, target inhibition, biological pathway inhibition, or pathophysiological alteration by the investigational drug or device
- Discovery and/or validation of predictive biomarkers (eg, genomic, proteomic, or metabolomic signatures of response) using biospecimens from trials where the outcome is known
- Correlation of the activation of specific signaling pathways with clinical outcomes
- Pharmacogenomic studies aimed at the identification of genomic profiles associated with increased/decreased efficacy or toxicity during clinical interventions
- Discovery and/or early validation of biomarkers elucidating mechanisms of action of interventions aimed at preventing or treating symptoms and/or toxicities resulting from treatment using biospecimens from clinical trials where the outcomes are known
- Molecular analyses of biospecimens obtained from exceptional responders

#### **4. FUNDING INFORMATION**

- Applicants may request a maximum of \$400,000 per year for a period of up to 3 years.
- Applicants who plan on conducting a clinical trial as part of the project may request up to \$600,000 in total costs per year for up to 4 years. Note that an individual detailed budget for conducting a clinical trial is required.
- Exceptions to these limits may be requested if extremely well justified.

- If a clinical trial is proposed, the budget justification must include a timeline for trial initiation and accrual targets.
- If a clinical trial is proposed, applications should provide documentation that the proposed trial is feasible within the project timeline. For example, drug access through an industry or CTEP arrangement should be documented. When indicated, an approved investigational new drug application (IND) or investigational device exemption (IDE) for devices from the Food and Drug Administration (FDA) should be cited, or if no IND is yet available for the agent(s), then a pre-IND meeting would have been held with the FDA, and the summary letter from that pre-IND meeting would be included as an attachment (see [section 8.2.10](#)).
- Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs including diagnostic or interventional procedures associated with participation in a clinical trial and not considered routine patient care, and travel to scientific/technical meetings or collaborating institutions (see [section 8.2.12](#)).

## 5. ELIGIBILITY

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism.
- A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The Principal Investigator (PI) must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may not submit applications to this RFA and to RFA-R-20.1-IIRA, RFA-R-20.1-IIRACCA, or RFA R-20.1-IIRAP. Only 1 IIRA, IIRACT, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle.
- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-20.1-IIRACCA, RFA-R-20.1-IIRA, or RFA-R-20.1-IIRAP.

- A PI may submit both a new application to this RFA and a renewal application to another RFA during this funding cycle.
- An individual may serve as a PI on no more than 3 active CPRIT Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers MIRA Project Co-PIs equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be March 1, 2020).
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included.
- Collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants

need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov).

## 6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PI for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date. See [section 8.2.5](#).

## 7. RENEWAL POLICY

An application originally funded by CPRIT as an IIRA, IIRACCA, or IIRAP that is appropriate for the IIRACT mechanism may be submitted under this RFA for a competitive renewal. See [section 8.2.6](#). Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See [section 9.2](#).

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be

accepted beginning at 7 AM central time on March 7, 2019, and must be submitted by 4 PM central time on June 5, 2019 **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### **8.1.1. Submission Deadline Extension**

The submission deadline may be extended upon a showing of extenuating circumstances. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT [Helpdesk](#) within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

Please note that deadline extension requests are very rarely approved.

## **8.2. Application Components**

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

### **8.2.1. Abstract and Significance (5,000 characters)**

It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).** Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan.

Clearly address how the proposed project, if successful, will have a major impact on cancer. Summarize how the proposed research creates new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

### **8.2.2. Layperson’s Summary (2,000 characters)**

Provide a layperson’s summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson’s summary. The layperson’s summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

### **8.2.3. Goals and Objectives**

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

### **8.2.4. Timeline (1 page)**

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications.

If a clinical trial is proposed as a component of this application, the timeline must include clearly defined patient accrual milestones.

If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

### **8.2.5. Resubmission Summary (2 pages)**

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

**Note:** An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may prepare a fresh research plan or modify the original research plan and mark the changes. However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

#### **8.2.6. Renewal Summary (2 Pages)**

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

#### **8.2.7. Research Plan (11 pages)**

**Background:** Present the rationale behind the proposed project, emphasizing the pressing problem in cancer research that will be addressed.

**Hypothesis and Specific Aims:** Concisely state the hypothesis and/or specific aims to be tested or addressed by the research described in the application.

**Research Strategy:** Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data that support the proposed hypothesis are encouraged but not required. This section has been lengthened to allow the applicant to present the statistical considerations used to determine a trial design, accrual milestones, and biomarker validation.

#### **8.2.8. Vertebrate Animals and/or Human Subjects (2 pages)**

If vertebrate animals will be used, provide a detailed plan of the protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

### **8.2.9. Protocol Documentation**

If a clinical trial is planned, a PDF copy of the full protocol can be attached.

### **8.2.10. Investigational New Drug Application (IND)/Investigational Device Exemption (IDE)**

If a clinical trial is proposed that requires an IND or IDE, provide evidence of an approved IND or IDE for devices from the FDA. If no IND is yet available for the agent(s), then provide a summary letter from a pre-IND meeting held with the FDA. If the drug or device is to be provided through an industry or CTEP mechanism, provide documentation that the drug or device will be available.

### **8.2.11. Publications/References**

Provide a concise and relevant list of publications/references cited for the application.

### **8.2.12. Budget and Justification**

Provide a compelling and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, costs associated with the conduct of a clinical trial, animal care costs, and other expenses. While there will be 1 budget for the entire project, an individual budget and budget justification for the conduct of a clinical trial must be included. The justification should include the statistical considerations that led to the clinical trial design, accrual milestones, and validation of biomarkers.

Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request.

In preparing the requested budget, applicants should be aware of the following:

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding

indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at [www.cpr.it.texas.gov](http://www.cpr.it.texas.gov). So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.

- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2020 is \$200,000; CPRIT FY 2020 is from September 1, 2019, through August 31, 2020. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

### **8.2.13. Biographical Sketches (5 pages each)**

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

### **8.2.14. Current and Pending Support**

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project, and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

### **8.2.15. Institutional/Collaborator Support and/or Other Certification (4 pages)**

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 4 pages may be provided.

### **8.2.16. Previous Summary Statement**

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

**Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or that do not meet the eligibility requirements listed above will be administratively rejected without review.**

## **8.3. Formatting Instructions**

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Language:** English.
- **Document Format:** PDF only.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Line Spacing:** Single.
- **Page Size:** 8.5 x 11 inches.
- **Margins:** 0.75 inch, all directions.
- **Color and High-Resolution Images:** Images, graphs, figures, and other illustrations must be submitted as part of the appropriate submitted document. Applicants should include text to explain illustrations that may be difficult to interpret when printed in black and white.
- **Scanning Resolution:** Images and figures must be of lowest reasonable resolution that permits clarity and readability. Unnecessarily large files will NOT be accepted, especially those that include only text.
- **References:** Applicants should use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters

are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

Smith, P.T., Doe, J., White, J.M., et al (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research*, 135: 45–67.

- **Internet URLs:** Applicants are encouraged to provide the URLs of publications referenced in the application; however, applicants should not include URLs directing reviewers to websites containing additional information about the proposed research.
- **Headers and Footers:** These should not be used unless they are part of a provided template. Page numbers may be included in the footer (see following point).
- **Page Numbering:** Pages should be numbered at the bottom right corner of each page.
- All attachments that require signatures must be filled out, printed, signed, scanned, and then uploaded in PDF format.

## 9. APPLICATION REVIEW

### 9.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Program panel members for scientific merit and impact.

**This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers’ interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.**

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

## 9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed in [section 9.4](#). In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

## 9.3. Confidentiality of Review

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, Scientific Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Peer Review Panel members and Scientific Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Research Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

#### **9.4. Review Criteria**

Full peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

##### **9.4.1. Primary Criteria**

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

**Significance and Impact:** Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be

considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

**Research Plan:** Is the proposed work presented as a self-contained research project? Does the proposed research have a clearly defined hypothesis or goal that is supported by sufficient preliminary data and/or scientific rationale? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed?

**Applicant Investigator:** Does the applicant investigator demonstrate the required creativity and expertise to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage-specific fashion. Have early-career-stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percent effort) to this project?

**Relevance:** Does the proposed research have a high degree of relevance to cancer research? This is a critical criterion for evaluation of projects for CPRIT support.

#### **9.4.2. Secondary Criteria**

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed research.

Secondary criteria include the following:

**Research Environment:** Does the research team have the needed expertise, facilities, and resources to accomplish all aspects of the proposed research? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support of the research team and the project?

**Vertebrate Animals and/or Human Subjects:** Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

**Budget:** Is the budget appropriate for the proposed work?

**Duration:** Is the stated duration appropriate for the proposed work?

## **10. KEY DATES**

### **RFA**

RFA release

January 10, 2019

## **Application**

Online application opens	March 7, 2019, 7 AM central time
Application due	June 5, 2019, 4 PM central time
Application review	June 2019–February 2020

## **Award**

Award notification	February 2020
Anticipated start date	March 1, 2020

## **11. AWARD ADMINISTRATION**

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT’s electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT’s electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT’s Administrative Rules, which are available at [www.cprit.texas.gov](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 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. A grant recipient that is a public or private institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding demonstration of available funding. The demonstration of available matching funds must be made at the time the award contract is executed, and annually thereafter, not when the application is submitted.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding scientific aspects of applications.

**Hours of operation:** Monday through Friday, 8 AM to 6 PM central time.

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Academic Research.

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](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)**  
**Basic Cancer Research - 2 Peer Review Meeting**  
**(20.1 ACR BCR-2)**  
**Observation Report**

Report No. 2019-10-17 20.1\_ACR\_BCR-2  
Program Name: Academic Research  
Panel Name: Basic Cancer Research – 2 Peer Review Meeting  
(20.1\_ACR\_BCR-2)  
Panel Date: 10-17-2019  
Report Date: 10-22-2019

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 2 Peer Review Meeting (20.1\_ACR\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 2019.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

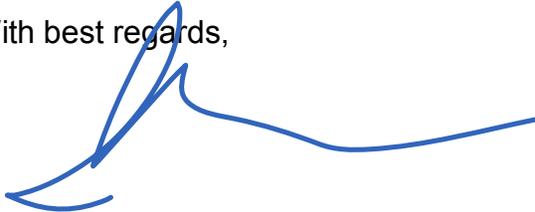
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed

additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Basic Cancer Research - 1 Peer Review Meeting**  
**(20.1 ACR BCR-1)**  
**Observation Report**

Report No. 2019-10-18 20.1\_ACR\_BCR-1  
Program Name: Academic Research  
Panel Name: Basic Cancer Research – 1 Peer Review Meeting  
(20.1\_ACR\_BCR-1)  
Panel Date: 10-18-2019  
Report Date: 10-22-2019

***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 1 Peer Review Meeting (20.1\_ACR\_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Sixteen (16) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2) and one (1) CPRIT Oversight Committee Member
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There was one (1) COI identified prior to and/or during the meeting. The COI was excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Cancer Biology (CB) Peer Review Meeting (20.1 ACR CB)**  
**Observation Report**

Report No.            2019-10-21 20.1\_ACR\_CB  
Program Name:        Academic Research  
Panel Name:           Cancer Biology (CB) Peer Review Meeting (20.1\_ACR\_CB)  
Panel Date:           10-21-2019  
Report Date:          10-31-2019

***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

***INTRODUCTION***

The subject of this report is the Basic Cancer Biology (CB) Peer Review Meeting (20.1\_ACR\_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed

additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Cancer Prevention Research (CPR) Peer Review Meeting**  
**(20.1 ACR CPR)**  
**Observation Report**

Report No. 2019-10-22 20.1\_ACR\_CPR  
Program Name: Academic Research  
Panel Name: Cancer Prevention Research (CPR) Peer Review Meeting  
(20.1\_ACR\_CPR)  
Panel Date: 10-22-2019  
Report Date: 10-28-2019

***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

***INTRODUCTION***

The subject of this report is the Cancer Prevention Research (CPR) Peer Review Meeting (20.1\_ACR\_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

## **CONCLUSION**

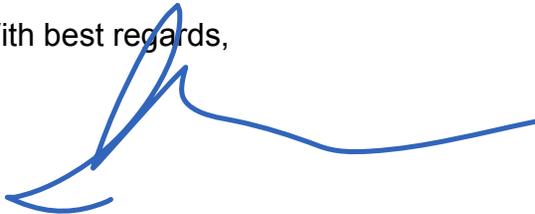
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and

scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Imaging Technology and Informatics (ITI) Peer Review**  
**Meeting (20.1 ACR ITI)**  
**Observation Report**

Report No. 2019-10-23 20.1\_ACR\_ITI  
Program Name: Academic Research  
Panel Name: Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1\_ACR\_ITI)  
Panel Date: 10-23-2019  
Report Date: 10-31-2019

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1\_ACR\_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 2019.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

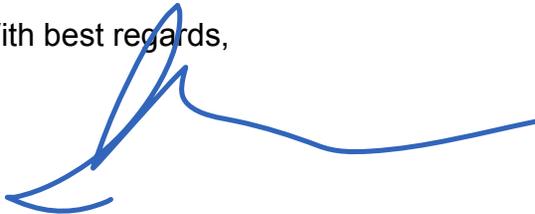
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Clinical & Translational Cancer Research (C/TCR) Peer**  
**Review Meeting (20.1 ACR C/TCR)**  
**Observation Report**

Report No. 2019-10-24 20.1\_ACR\_CTCR  
Program Name: Academic Research  
Panel Name: Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1\_ACR\_C/TCR)  
Panel Date: 10-24-2019  
Report Date: 10-31-2019

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1\_ACR\_C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 2019.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

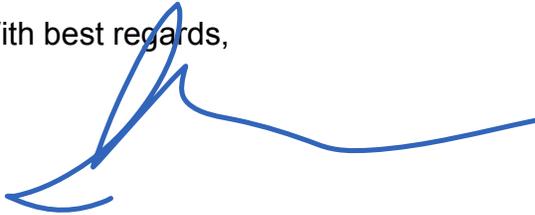
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

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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)**

### **Scientific Review Council (SRC 20.1)**

#### **Observation Report**

Report No. 2019-12-12 SRC\_20.1  
Program Name: Academic Research  
Panel Name: Scientific Review Council (SRC\_20.1)  
Panel Date: 12-12-2019  
Report Date: 12-17-2019

#### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

#### ***INTRODUCTION***

The subject of this report is the Scientific Review Council (SRC\_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Forty-nine (49) applications were discussed
- Panelists: One (1) panel chair and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COI identified prior to and/or during the meeting.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

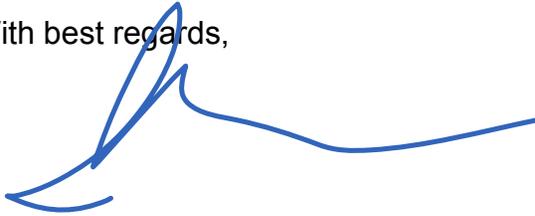
## **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures; other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.1 Applications

#### Academic Research Cycle 20.1 Awards Announced at February 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Clinical Translation*, and *Individual Investigator Research Awards for Prevention and Early Detection*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon; Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200233	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson
RP200456	Changho Choi	The University of Texas Southwestern Medical Center	Anna Wu
RP200058pe	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200432pe	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200432	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200356pe	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200356	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200025pe	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP200025	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
<b>Applications not considered by the PIC or Oversight Committee:</b>			
RP200006pe	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200018pe	Alexander Pertsemliadis	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200089pe	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200111pe	Xiaojing Wang	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200114pe	Luiz Penalva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200143pe	David Libich	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200144pe	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200215pe	Ratna Vadlamudi	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200239pe	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200382pe	Patricia Dahia	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200398pe	Ann Griffith	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200416pe	Kyuson Yun	The Methodist Hospital Research Institute	Kristin Swanson
RP200436pe	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia ; Kristin Swanson
RP200436	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Kristin Swanson
RP200063pe	WEIXING ZHAO	The University of Texas Health Science Center at San Antonio	Alan Tomkinson;W. Chazin
RP200092pe	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200092	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200107pe	Samy Habib	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200169pe	Guo-Min Li	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200279pe	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200279*	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200367pe	Elizabeth Goldsmith	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200391pe	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200391	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy
RP200056pe	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200056	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200077pe	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200077	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200221pe	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200221*	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200094pe	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200094	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200099pe	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200099*	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200115pe	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200115	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200141pe	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200141	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200159pe	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200159	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200193pe	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200193	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200238pe	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200238	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200260pe	Yi-Qian Nancy You	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305pe	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200336pe	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200336	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200441pe	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200441*	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200021pe	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200021	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200057pe	Kenneth Hoyt	The University of Texas at Dallas	Anna. Wu
RP200154pe	Kevin Burgess	Texas A&M University	Weibo Cai
RP200161pe	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200161	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco
RP200167pe	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200167	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200180pe	Joseph Maldjian	The University of Texas Southwestern Medical Center	Anna Wu
RP200192pe	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200192	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200214pe	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200214	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200256pe	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200280pe	Guiyang Hao	The University of Texas Southwestern Medical Center	Anna Wu
RP200351pe	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200351*	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200375pe	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200375	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200479pe	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200479	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200495pe	Yujie Chi	The University of Texas at Arlington	Anna Wu
RP200497pe	Justyn Jaworski	The University of Texas at Arlington	Anna Wu
RP200497	Justyn Jaworski	The University of Texas at Arlington	Anna Wu

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200291	Marina Konopleva	The University of Texas M. D. Anderson Cancer Center	Charles Mullighan
RP200408	Cullen Taniguchi	The University of Texas M. D. Anderson Cancer Center	Anne Tonachel

\*=not discussed

# **De-Identified Overall Evaluation Scores**

---

# Individual investigator Research Awards for Clinical Translation

Academic Research Cycle 20.1

## Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP200173*	2.0
RP200369*	2.0
RP200356*	2.6
RP200392**	2.9
Mb	3.3
Mc	3.5
Md	3.7
Me	3.7
Mf	4.0
Mg	4.3
Mh	4.3
Mi	4.3
Mj	4.7

\* = Approved for award on Feb.19, 2020.

\*\* = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) on Feb. 4, 2020, to a future FY2020 PIC meeting date. Recommended by the PIC on Aug. 4, 2020.

# Individual Investigator Research Awards for Clinical Translation

Academic Research Cycle 20.1

## Final Scores for Preliminary Evaluation

*These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.*

Application ID	Final Scores for Preliminary Evaluation
Caa	4.00
Cab	4.33
Cac	4.33
Cad	4.67
Cae	4.67
Caf	4.67
Cag	4.67
Cah	4.67
Cai	4.67
Caj	5.00
Cak	5.00
Cal	5.00
Cam	5.33
Can	5.33

# **Final Overall Evaluation Scores and Rank Order Scores**

---

San Diego

**Ludwig Institute for  
Cancer Research Ltd**

January 17, 2020

**Richard D. Kolodner  
Ph.D.**

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
Cellular & Molecular  
Medicine, University of  
California San Diego School  
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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@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 research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

The SRC met on December 12, 2019 to consider the applications recommended by the peer review panels following their meetings that were held October 17, 2019 – October 24, 2019.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$49,554,090.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	Application ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immuno-resistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP200093	IIRA	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	\$900,000
3	RP200081	IIRA	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	\$900,000
4	RP200395	IIRA	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	\$900,000
5	RP200233	IIRA	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	\$900,000
6	RP200120	IIRA	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnica-Worms	The University of Texas M. D. Anderson Cancer Center	\$900,000
7	RP200023	IIRA	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	\$900,000
8	RP200271	IIRA	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I-Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	\$900,000

9	RP200103	IIRACCA	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	\$1,137,104
10	RP200401	IIRA	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	\$900,000
11	RP200170	IIRA	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	\$900,000
12	RP200467	IIRA	2.0	SREBP-2-Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	\$900,000
13	RP200197	IIRA	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	\$900,000
14	RP200173	IIRACT	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	\$2,067,105
15	RP200369	IIRACT	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	\$1,200,000
16	RP200223	IIRA	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	\$887,713
17	RP200021	IIRA	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	\$900,000
18	RP200402	IIRA	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	\$899,847
19	RP200390	IIRA	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	\$898,872

20	RP200284	IIRA	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	\$899,959
21	RP200110	IIRACCA	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	\$1,200,000
22	RP200235	IIRA	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP200150	IIRA	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	\$900,000
24	RP200452	IIRA	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	\$900,000
25	RP200315	IIRA	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	\$900,000
26	RP200409	IIRAP	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	\$890,502

27	RP200381	IIRACCA	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	\$1,444,593
28	RP200443	IIRA	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	\$897,527
29	RP200456	IIRA	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	\$899,651
30	RP200287	IIRA	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP200181	IIRA	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	\$900,000
32	RP200047	IIRA	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	\$900,000
33	RP200118	IIRA	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	\$900,000

34	RP200356	IIRACT	2.6	Circulating Tumor DNA-Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	\$2,399,998
35	RP200439	IIRA	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	\$900,000
36	RP200432	IIRACCA	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	\$1,196,214
37	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	\$899,985
38	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	\$702,581
39	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	\$900,000
40	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	\$754,398
41	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition-Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	\$1,199,997
42	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	\$900,000
43	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	\$1,198,659

44	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	\$896,896
45	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	\$1,200,000
46	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	\$899,020
47	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	\$900,000
48	RP200240	IIRA	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	\$899,999
49	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	\$1,483,470

IIRA: Individual Investigator Research Awards  
 IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents  
 IIRAP: Individual Investigator Research Awards for Prevention and Early Detection  
 IIRACT: Individual Investigator Research Awards for Clinical Translation



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 1**  
*Individual Investigator Research Awards for  
Prevention and Early Detection*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA R-20.1-IIRAP**

**Individual Investigator Research Awards for  
Prevention and Early Detection**

**Please also refer to the Instructions for Applicants document,  
which will be posted on March 7, 2019**

**Application Receipt Opening Date:** March 7, 2019

**Application Receipt Closing Date:** June 5, 2019

**FY 2020**

Fiscal Year Award Period  
September 1, 2019-August 31, 2020

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## **RFA VERSION HISTORY**

Rev 1/10/19 RFA release

## **1. ABOUT CPRIT**

The State of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Develop and implement the Texas Cancer Plan.

### **1.1. Academic Research Program Priorities**

The Texas Legislature has charged the CPRIT Oversight Committee with establishing program priorities on an annual basis. These priorities are intended to provide transparency with regard to how the Oversight Committee directs the orientation of the agency's funding portfolio.

Established Principles:

- Scientific excellence and impact on cancer
- Targeting underfunded areas
- Increasing the life sciences infrastructure

The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

- Recruitment of outstanding cancer researchers to Texas
- Investment in core facilities
- A broad range of innovative, investigator-initiated research projects
- Implementation research to accelerate the adoption and deployment of evidence-based prevention and screening interventions
- Computational biology and analytic methods
- Childhood cancers
- Hepatocellular cancer

- Expand access to innovative clinical trials

## **2. RATIONALE**

A major opportunity for investment in cancer research is in the area of cancer prevention. Nowhere is there greater potential to reduce the burden of cancer than by reducing its incidence. This has the added advantage of sparing people and families from the psychological and emotional trauma of a cancer diagnosis, the often devastating physical consequences of cancer therapies, and the financial burdens associated with cancer treatment.

Identification of causes of cancer, including environmental chemicals, microbial agents, and genetic susceptibilities, is essential for reducing cancer incidence. In addition, intervening in the process at early stages of cancer development, before genetic instability becomes widespread, holds promise of successfully eliminating cells destined to become cancer cells. Basic research on the identification and control of premalignant cells, the role of the tumor cell microenvironment in tumor development, environmental drivers, and predictive markers of cancer progression from normal to neoplastic may provide new avenues for intervening early in the process of cancer development. Early detection of cancer using biomarkers and early screening methods also can reduce morbidity and mortality from cancer.

Although CPRIT is required to spend 10% of its budget on cancer prevention, CPRIT's Cancer Prevention Program focuses exclusively on the delivery of evidence-based interventions to underserved populations and does not fund prevention research. Thus, there is a unique opportunity for CPRIT's Academic Research Program to fund research on adoption of cancer-preventing behaviors, effectiveness of various interventions, and how best to deliver prevention services that could eventually result in implementation through the Prevention Program.

## **3. RESEARCH OBJECTIVES**

This Request for Applications (RFA) solicits applications for innovative research projects addressing questions that will advance current knowledge of the causes, prevention, early-stage progression from normal to neoplastic cells, and/or the early detection of cancer. Research projects that propose to conduct implementation research designed to accelerate the adoption and deployment of sustainable, evidence-based cancer prevention and screening interventions at multiple levels and in different clinical and community settings are encouraged.

Applications may address any topic or issue related to cancer causation, prevention, early progression, early detection, or implementation of evidence based interventions. Research may be laboratory-, clinical-, or population-based and may include behavioral/intervention, dissemination, or health services/outcomes research to reduce cancer incidence or promote early detection. CPRIT expects the outcomes of activities supported by this mechanism to reduce the burden of cancer in the near or long term. CPRIT encourages applications that seek to apply or develop state-of-the-art technologies, tools, and/or resources for prevention or early detection of cancer, including those with potential commercialization opportunities. Successful applicants should be working in a research environment capable of supporting potentially high-impact studies. Partnering with cancer biologists or oncologists is highly recommended for Principal Investigators (PIs) who do not have this expertise.

The subject of applications may include, but is not limited to, the following:

- Environmental carcinogenesis, including high-throughput methods for carcinogen detection and identification of carcinogens and their mechanisms of action
- Role of microbial agents in cancer causation
- Cancer epidemiology
- Identification of populations at high risk of developing cancer
- Cellular and molecular alterations leading to development of precancerous lesions
- Approaches to prevent progression of normal to preneoplastic cells to cancer cells
- Methods for early detection of cancer
- Development and testing of intervention strategies to increase access to and improve recently endorsed screening technologies for cancer
- Cancer-focused health services/outcomes or patient-centered outcomes research
- Development and adaptation of novel interventions for effective and efficient delivery of cancer prevention and screening services

The *degree of relevance* to reducing the burden of cancer is a critical criterion for evaluation of projects for funding by CPRIT ([section 9.4.1](#)).

#### **4. FUNDING INFORMATION**

Applicants may request a maximum of \$300,000 in total costs per year for up to 3 years for laboratory and clinical research and up to \$500,000 in total costs per year for up to 3 years for

population-based research, including implementation research designed to accelerate the adoption and deployment of sustainable, evidence-based cancer prevention and screening interventions at multiple levels and in different clinical and community settings. Exceptions to these limits may be requested if extremely well justified (see [section 8.2.10](#)). Funds may be used for salary and fringe benefits, research supplies, equipment, subject participation costs, and travel to scientific/technical meetings or collaborating institutions. Requests for funds to support construction and/or renovation will not be approved under this funding mechanism. State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the total award amount.

## **5. ELIGIBILITY**

- The applicant must be a Texas-based entity. Any not-for-profit institution or organization that conducts research is eligible to apply for funding under this award mechanism. A public or private company is not eligible for funding under this award mechanism; these entities must use the appropriate award mechanism(s) under CPRIT's Product Development Research Program.
- The PI must have a doctoral degree, including MD, PhD, DDS, DMD, DrPH, DO, DVM, or equivalent, and must reside in Texas during the time the research that is the subject of the grant is conducted.
- A PI may not submit applications to this RFA and to RFA-R-20.1-IIRA, RFA-R-20.1-IIRACCA, or RFA R-20.1-IIRACT. Only 1 IIRA, IIRACT, IIRACCA, or IIRAP application per cycle is allowed. A PI may submit only 1 new or resubmission application under this RFA during this funding cycle. If submitting a renewal application, a PI may submit both a new or resubmission application and a renewal application under this RFA during this funding cycle.
- An individual may serve as a PI on no more than 3 active CPRIT Academic Research grants. Recruitment Grants and Research Training Awards do not count toward the 3-grant maximum; however, CPRIT considers MIRA Project Co-PIs equivalent to a PI. For the purpose of calculating the number of active grants, CPRIT will consider the number of active grants at the time of the award contract effective date (for this cycle expected to be March 1, 2020).

- A PI may be a Co-PI on applications submitted to this RFA and to RFA-R-20.1-IIRACT, RFA-R-20.1-IIRA, or RFA-R-20.1-IIRACCA.
- Applications that address untargeted research, Cancers in Children and Adolescents, or Clinical Translation should be submitted under the appropriate targeted RFA.
- Because this award mechanism is intended to support research directed by a single investigator, only 1 Co-PI may be included. Collaborators should have specific and well-defined roles.
- Collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant is eligible to receive a grant award only if the applicant certifies that the applicant institution or organization, including the PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's institution or organization (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PI, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant must report whether the applicant institution or organization, the PI, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the

CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov).

## 6. RESUBMISSION POLICY

An application previously submitted to CPRIT but not funded may be resubmitted once and must follow all resubmission guidelines. More than 1 resubmission is not permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PI for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. This policy is in effect for all applications submitted to date. See [section 8.2.5](#).

## 7. RENEWAL POLICY

An application funded by CPRIT under this mechanism may be submitted for a competitive renewal. An application originally funded by CPRIT as an IIRA that is appropriate for the IIRAP mechanism may be submitted under this RFA for a competitive renewal. See [section 8.2.6](#). Competitive renewals are not subject to preliminary evaluation. Renewal applications move directly to the full peer review phase. See [section 9.2](#).

## 8. RESPONDING TO THIS RFA

### 8.1. Application Submission Guidelines

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The PI must create a user account in the system to start and submit an application. The Co-PI, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (the individual who will manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on March 7, 2019, and must be submitted by 4 PM

central time on June 5, 2019. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### **8.1.1. Submission Deadline Extension**

The submission deadline may be extended upon a showing of extenuating circumstances. A request for a deadline extension based on the need to complete multiple CPRIT or other grants applications will be denied. All requests for extension of the submission deadline must be submitted via email to the CPRIT [Helpdesk](#), within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records. Please note that deadline extension requests are very rarely approved.

## **8.2. Application Components**

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Please refer to the *Instructions for Applicants* document for details that will be available when the application receipt system opens. Submissions that are missing 1 or more components or do not meet the eligibility requirements listed in [section 5](#) will be administratively withdrawn without review.

### **8.2.1. Abstract and Significance (5,000 characters)**

It is the responsibility of the applicant to capture CPRIT's attention primarily with the Abstract and Significance statement alone. Therefore, applicants are advised to prepare this section wisely. **Based on this statement (and the Budget and Justification and Biographical Sketches), applications that are judged to offer only modest contributions to the field of cancer research or that do not sufficiently capture the reviewers' interest may be excluded from further peer review (see [section 9.1](#)).** Applicants should not waste this valuable space by stating obvious facts (eg, that cancer is a significant problem; that better diagnostic and therapeutic approaches are needed urgently; or that the type of cancer of interest to the PI is important, vexing, or deadly).

Clearly explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Clearly address how the proposed project, if successful, will have a major impact on cancer. Summarize how the proposed research creates

new paradigms or challenges existing ones. Indicate whether this research plan represents a new direction for the PI.

### **8.2.2. Layperson’s Summary (2,000 characters)**

Provide a layperson’s summary of the proposed work. Describe, in simple, nontechnical terms, the overall goals of the proposed work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the field of cancer research, early diagnosis, prevention, or treatment. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. Do not include any proprietary information in the layperson’s summary. The layperson’s summary will also be used by advocate reviewers ([section 9.2](#)) in evaluating the significance and impact of the proposed work.

### **8.2.3. Goals and Objectives**

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success.

### **8.2.4. Timeline (1 page)**

Provide an outline of anticipated major milestones to be tracked. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications.

If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

### **8.2.5. Resubmission Summary (2 pages)**

Applicants preparing a resubmission must describe the approach to the resubmission. If a summary statement was prepared for the original application review, applicants are advised to address all noted concerns.

**Note:** An application previously submitted to CPRIT but not funded may be resubmitted once after careful consideration of the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. Applicants may

prepare a fresh research plan or modify the original research plan and mark the changes. However, all resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes.

#### **8.2.6. Renewal Summary (2 pages)**

Applicants preparing a renewal must describe and demonstrate that appropriate/adequate progress has been made on the current funded award to warrant further funding. Publications and manuscripts in press that have resulted from work performed during the initial funded period should be listed in the renewal summary.

#### **8.2.7. Research Plan (10 pages)**

**Background:** Present the rationale behind the proposed project, emphasizing the pressing problem in cancer research that will be addressed.

**Hypothesis and Specific Aims:** Concisely state the hypothesis and/or specific aims to be tested or addressed by the research described in the application.

**Research Strategy:** Describe the experimental design, including methods, anticipated results, potential problems or pitfalls, and alternative approaches. Preliminary data that support the proposed hypothesis are encouraged but not required.

#### **8.2.8. Vertebrate Animals and/or Human Subjects (2 pages)**

If vertebrate animals will be used, provide a detailed plan of the protocols that will be followed. If human subjects or human biological samples will be used, provide a detailed plan for recruitment of subjects or acquisition of samples that will meet the time constraints of this award mechanism. If vertebrate animals and/or human subjects are included in the proposed research, reference biostatistical input for sample selection and evaluation. In addition, certification of approval by the institutional IACUC and/or IRB, as appropriate, will be required before funding can occur.

#### **8.2.9. Publications/References**

Provide a concise and relevant list of publications/references cited for the application.

### **8.2.10. Budget and Justification**

Provide a compelling and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. Do not exceed \$300,000 per year for laboratory and clinical studies, and \$500,000 for population-based studies, including implementation research designed to accelerate the adoption and deployment of sustainable, evidence-based cancer prevention and screening interventions at multiple levels and in different clinical and community settings. Applicants are advised not to interpret the maximum allowable request under this award as a suggestion that they should expand their anticipated budget to this level. Reasonable budgets clearly work in favor of the applicant.

However, if there is a highly specific and defensible need to request more than the maximum amount in any year(s) of the proposed budget, include a special and clearly labeled section in the budget justification that explains the request. Poorly justified requests of this type will likely have a negative impact on the overall evaluation of the application.

In preparing the requested budget, applicants should be aware of the following:

- Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application.
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT's Administrative Rules, which are available at [www.cprit.texas.gov](http://www.cprit.texas.gov). So-called grants management and facilities fees (eg, sponsored programs fees; grants and contracts fees; electricity, gas, and water; custodial fees; maintenance fees) may not be requested. Applications that include such budgetary items will be rejected administratively and returned without review.
- The annual salary (also referred to as direct salary or institutional base salary) that an individual may receive under a CPRIT award for FY 2020 is \$200,000; CPRIT FY 2020 is from September 1, 2019, through August 31, 2020. Salary does not include fringe benefits and/or facilities and administrative costs, also referred to as indirect costs. An individual's institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent

on research, teaching, patient care, or other activities. Base salary excludes any income that an individual may be permitted to earn outside of his or her duties to the applicant organization.

#### **8.2.11. Biographical Sketches (5 pages each)**

Applicants should provide a biographical sketch that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. A biographical sketch must be provided for the PI and, if applicable, the Co-PI (as required by the online application receipt system). Up to 2 additional biographical sketches for key personnel may be provided. Each biographical sketch must not exceed 5 pages. The NIH biosketch format is appropriate.

#### **8.2.12. Current and Pending Support**

Describe the funding source and duration of all current and pending support for all personnel who have included a biographical sketch with the application. For each award, provide the title, a 2-line summary of the goal of the project and, if relevant, a statement of overlap with the current application. At a minimum, current and pending support of the PI and, if applicable, the Co-PI must be provided. Refer to the sample current and pending support document located in [Current Funding Opportunities](#) for Academic Research in CARS.

#### **8.2.13. Institutional/Collaborator Support and/or Other Certification (4 pages)**

Applicants may provide letters of institutional support, collaborator support, and/or other certification documentation relevant to the proposed project. A maximum of 4 pages may be provided.

#### **8.2.14. Previous Summary Statement**

If the application is being resubmitted, the summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission. The applicant is not responsible for providing this document.

**Applications that are missing 1 or more of these components, exceed the specified page, word, or budget limits, or that do not meet the eligibility requirements listed above will be administratively rejected without review.**

### 8.3. Formatting Instructions

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Language:** English.
- **Document Format:** PDF only.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Line Spacing:** Single.
- **Page Size:** 8.5 x 11 inches.
- **Margins:** 0.75 inch, all directions.
- **Color and High-Resolution Images:** Images, graphs, figures, and other illustrations must be submitted as part of the appropriate submitted document. Applicants should include text to explain illustrations that may be difficult to interpret when printed in black and white.
- **Scanning Resolution:** Images and figures must be of lowest reasonable resolution that permits clarity and readability. Unnecessarily large files will NOT be accepted, especially those that include only text.
- **References:** Applicants should use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

Smith, P.T., Doe, J., White, J.M., et al (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research*, 135: 45–67.

- **Internet URLs:** Applicants are encouraged to provide the URLs of publications referenced in the application; however, applicants should not include URLs directing reviewers to websites containing additional information about the proposed research.
- **Headers and Footers:** These should not be used unless they are part of a provided template. Page numbers may be included in the footer (see following point).
- **Page Numbering:** Pages should be numbered at the bottom right corner of each page.
- All attachments that require signatures must be filled out, printed, signed, scanned, and then uploaded in PDF format.

## 9. APPLICATION REVIEW

### 9.1. Preliminary Evaluation

To ensure the timely and thorough review of only the most innovative and cutting-edge research with the greatest potential for advancement of cancer research, all eligible applications may be preliminarily evaluated by CPRIT Scientific Research Program panel members for scientific merit and impact.

**This preliminary evaluation will be based on a subset of material presented in the application—namely Abstract and Significance, Budget and Justification, and Biographical Sketches. Applications that do not sufficiently capture the reviewers' interest at this stage will not be considered for further review. Such applications will have been judged to offer only modest contributions to the field of cancer research and will be excluded from further peer review.**

The applicant will be notified of the decision to disapprove the application after the preliminary evaluation stage has concluded. Due to the volume of applications to be reviewed, comments made by reviewers at the preliminary evaluation stage may not be provided to applicants. The preliminary evaluation process will be used only when the number of applications exceeds the capacity of the review panels to conduct a full peer review of all received applications.

### 9.2. Full Peer Review

Applications that pass preliminary evaluation will undergo further review using a 2-stage peer review process: (1) Full peer review and (2) prioritization of grant applications by the CPRIT Scientific Review Council. In the first stage, applications will be evaluated by an independent peer review panel consisting of scientific experts as well as advocate reviewers using the criteria listed in [section 9.4](#). In the second stage, applications judged to be most meritorious by the peer review panels will be evaluated and recommended for funding by the CPRIT Scientific Review Council based on comparisons with applications from all of the peer review panels and programmatic priorities. Applications approved by Scientific Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an

open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

### **9.3. Confidentiality of Review**

Each stage of application review is conducted confidentially, and all CPRIT Scientific Peer Review Panel members, Scientific Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Scientific Peer Review Panel members and Scientific Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee Member, a PIC Member, a Scientific Review Panel member, or a Scientific Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Research Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when pre-applications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

## 9.4. Review Criteria

Full peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

### 9.4.1. Primary Criteria

Primary criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed study. Primary criteria include the following:

**Significance and Impact:** Will the results of this research, if successful, significantly change the research of others or the opportunities for better cancer prevention, diagnosis, or treatment for patients? Is the application innovative? Does the applicant propose new paradigms or challenge existing ones? Does the project develop state-of-the-art technologies, methods, tools, or resources for cancer research or address important underexplored or unexplored areas? If the research project is successful, will it lead to truly substantial advances in the field rather than add modest increments of insight? Projects that modestly extend current lines of research will not be considered for this award. Projects that represent straightforward extensions of ongoing work, especially work traditionally funded by other mechanisms, will not be competitive.

**Research Plan:** Is the proposed work presented as a self-contained research project? Does the proposed research have a clearly defined hypothesis or goal that is supported by sufficient preliminary data and/or scientific rationale? Are the methods appropriate, and are potential experimental obstacles and unexpected results discussed?

**Applicant Investigator:** Does the applicant investigator demonstrate the required creativity and expertise to make a significant contribution to the research? Applicants' credentials will be evaluated in a career stage-specific fashion. Have early-career-stage investigators received excellent training, and do their accomplishments to date offer great promise for a successful career? Has the applicant devoted a sufficient amount of his or her time (percent effort) to this project?

**Relevance:** Does the proposed research have a high degree of relevance to cancer prevention research or early detection? This is a critical criterion for evaluation of projects for CPRIT support.

#### **9.4.2. Secondary Criteria**

Secondary criteria contribute to the global score assigned to the application. Concerns with these criteria potentially question the feasibility of the proposed research.

Secondary criteria include the following:

**Research Environment:** Does the research team have the needed expertise, facilities, and resources to accomplish all aspects of the proposed research? Are the levels of effort of the key personnel appropriate? Is there evidence of institutional support of the research team and the project?

**Vertebrate Animals and/or Human Subjects:** Is the vertebrate animals and/or human subjects plan adequate and sufficiently detailed?

**Budget:** Is the budget appropriate for the proposed work?

**Duration:** Is the stated duration appropriate for the proposed work?

## **10. KEY DATES**

### **RFA**

RFA release January 10, 2019

### **Application**

Online application opens March 7, 2019, 7 AM central time

Application due June 5, 2019, 4 PM central time

Application review June 2019–February 2020

### **Award**

Award notification February 2020

Anticipated start date March 1, 2020

## **11. AWARD ADMINISTRATION**

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at [www.cprit.texas.gov](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 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. A grant recipient that is a public or private

institution of higher education, as defined by §61.003, Texas Education Code, may credit toward the Grant Recipient's Matching Funds obligation the dollar amount equivalent to the difference between the indirect cost rate authorized by the federal government for research grants awarded to the Grant Recipient and the 5% indirect cost limit imposed by §102.203(c), Texas Health and Safety Code. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements regarding demonstration of available funding. The demonstration of available matching funds must be made at the time the award contract is executed, and annually thereafter, not when the application is submitted.

## **13. CONTACT INFORMATION**

### **13.1. Helpdesk**

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding scientific aspects of applications.

**Hours of operation:** Monday through Friday, 8 AM to 6 PM central time.

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### **13.2. Scientific and Programmatic Questions**

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Senior Manager for Academic Research.

**Tel:** 512-305-8491

**Email:** [Help@CPRITGrants.org](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)**  
**Basic Cancer Research - 2 Peer Review Meeting**  
**(20.1 ACR BCR-2)**  
**Observation Report**

Report No. 2019-10-17 20.1\_ACR\_BCR-2  
Program Name: Academic Research  
Panel Name: Basic Cancer Research – 2 Peer Review Meeting  
(20.1\_ACR\_BCR-2)  
Panel Date: 10-17-2019  
Report Date: 10-22-2019

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 2 Peer Review Meeting (20.1\_ACR\_BCR-2) meeting. The meeting was chaired by Carol Prives and conducted in person on October 17, 2019.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eighteen (18) applications were discussed and sixteen (16) were not discussed
- Panelists: One (1) panel chair, sixteen (16) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were five (5) COIs identified prior to and/or during the meeting. Three (3) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict, respectively.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed

additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Basic Cancer Research - 1 Peer Review Meeting**  
**(20.1 ACR BCR-1)**  
**Observation Report**

Report No. 2019-10-18 20.1\_ACR\_BCR-1  
Program Name: Academic Research  
Panel Name: Basic Cancer Research – 1 Peer Review Meeting  
(20.1\_ACR\_BCR-1)  
Panel Date: 10-18-2019  
Report Date: 10-22-2019

***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

***INTRODUCTION***

The subject of this report is the Basic Cancer Research – 1 Peer Review Meeting (20.1\_ACR\_BCR-1) meeting. The meeting was chaired by Thomas Curran and conducted in person on October 18, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Sixteen (16) applications were discussed and twenty-one (21) were not discussed
- Panelists: One (1) panel chair, thirteen (13) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2) and one (1) CPRIT Oversight Committee Member
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There was one (1) COI identified prior to and/or during the meeting. The COI was excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Cancer Biology (CB) Peer Review Meeting (20.1 ACR CB)**  
**Observation Report**

Report No. 2019-10-21 20.1\_ACR\_CB  
Program Name: Academic Research  
Panel Name: Cancer Biology (CB) Peer Review Meeting (20.1\_ACR\_CB)  
Panel Date: 10-21-2019  
Report Date: 10-31-2019

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the Basic Cancer Biology (CB) Peer Review Meeting (20.1\_ACR\_CB) meeting. The meeting was chaired by Peter Jones and conducted in person on October 21, 2019.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Fourteen (14) applications were discussed and twenty-four (24) not discussed
- Panelists: One (1) panel chair, fifteen (15) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were six (6) COIs identified prior to and/or during the meeting. Four (4) applications with COIs were discussed and two (2) applications with COIs were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed

additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in blue ink, consisting of a stylized, cursive 'M' followed by a horizontal line that tapers 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)**  
**Cancer Prevention Research (CPR) Peer Review Meeting**  
**(20.1 ACR CPR)**  
**Observation Report**

Report No. 2019-10-22 20.1\_ACR\_CPR  
Program Name: Academic Research  
Panel Name: Cancer Prevention Research (CPR) Peer Review Meeting  
(20.1\_ACR\_CPR)  
Panel Date: 10-22-2019  
Report Date: 10-28-2019

***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

***INTRODUCTION***

The subject of this report is the Cancer Prevention Research (CPR) Peer Review Meeting (20.1\_ACR\_CPR) meeting. The meeting was chaired by Thomas Sellers and conducted in person on October 22, 2019.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Nineteen (19) applications were discussed and five (5) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and two (2) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were twelve (12) COIs identified prior to and/or during the meeting. Ten (10) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

## **CONCLUSION**

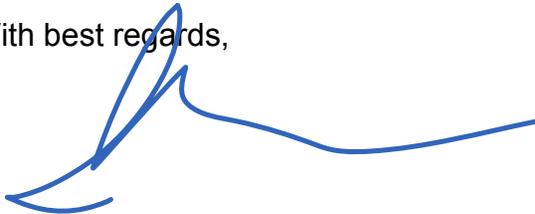
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and

scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Imaging Technology and Informatics (ITI) Peer Review**  
**Meeting (20.1 ACR ITI)**  
**Observation Report**

Report No. 2019-10-23 20.1\_ACR\_ITI  
Program Name: Academic Research  
Panel Name: Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1\_ACR\_ITI)  
Panel Date: 10-23-2019  
Report Date: 10-31-2019

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the Imaging Technology and Informatics (ITI) Peer Review Meeting (20.1\_ACR\_ITI) meeting. The meeting was chaired by Sam Gambhir and conducted in person on October 23, 2019.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty (20) applications were discussed and eight (8) not discussed
- Panelists: One (1) panel chair, seventeen (17) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Five (5) and three (3) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were thirteen (13) COIs identified prior to and/or during the meeting. Eleven (11) applications with COIs were discussed and two (2) were not discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

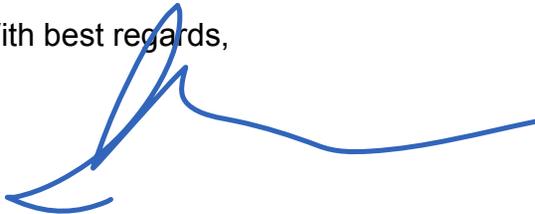
In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)**  
**Clinical & Translational Cancer Research (C/TCR) Peer**  
**Review Meeting (20.1 ACR C/TCR)**  
**Observation Report**

Report No. 2019-10-24 20.1\_ACR\_CTCR  
Program Name: Academic Research  
Panel Name: Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1\_ACR\_C/TCR)  
Panel Date: 10-24-2019  
Report Date: 10-31-2019

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the Clinical & Translational Cancer Research (C/TCR) Peer Review Meeting (20.1\_ACR\_C/TCR) meeting. The meeting was chaired by Richard O,Reilly and Margaret Tempero and conducted in person on October 24, 2019.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;

- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Twenty-two (22) applications were discussed and thirty-five (35) not discussed
- Panelists: Two (2) panel chairs, twenty-two (22) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Four (4) and four (4) additional GDIT or contract staff participated intermittently in a technical or logistics support role
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were three (3) COIs identified prior to and/or during the meeting. The three (3) COIs were on applications discussed. COIs were excluded from discussions concerning applications for which there was a conflict.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

### **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting

and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

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)

### Scientific Review Council (SRC 20.1)

#### Observation Report

Report No. 2019-12-12 SRC\_20.1  
Program Name: Academic Research  
Panel Name: Scientific Review Council (SRC\_20.1)  
Panel Date: 12-12-2019  
Report Date: 12-17-2019

#### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

#### ***INTRODUCTION***

The subject of this report is the Scientific Review Council (SRC\_20.1) meeting. The meeting was chaired by Richard Kolodner and conducted via teleconference on December 12, 2019.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and
- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Forty-nine (49) applications were discussed
- Panelists: One (1) panel chair and five (5) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Two (2)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) COI identified prior to and/or during the meeting.

A list of all attendees, a sign-in log and informational materials were provided by GDIT to aid in the observation of the COI procedures and objectives. A completed attendance sheet and sign-in log was provided following the meeting to confirm all attendees and COIs.

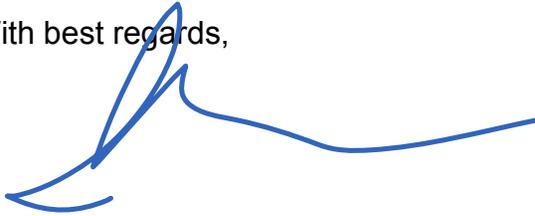
## **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures; other matters might have come to our attention that would have been reported to you.

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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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Academic Research 20.1 Applications

#### Academic Research Cycle 20.1 Awards Announced at February 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 20.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Clinical Translation*, and *Individual Investigator Research Awards for Prevention and Early Detection*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee:</b>			
RP200166pe	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200166	Steven Millward	The University of Texas M. D. Anderson Cancer Center	Alan Tomkinson
RP200254pe	Tanya Paull	The University of Texas at Austin	John Petrini
RP200254	Tanya Paull	The University of Texas at Austin	John Petrini
RP200197pe	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200197	Shuang Liang	The University of Texas Southwestern Medical Center	Heather Christofk
RP200315pe	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Eric Fearon; Jean-Pierre Issa
RP200315	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200233pe	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200233	Jie Zheng	The University of Texas at Dallas	Anna Wu; James Willson
RP200456	Changho Choi	The University of Texas Southwestern Medical Center	Anna Wu
RP200058pe	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200432pe	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200432	Charles Reynolds	Texas Tech University Health Sciences Center	W. Martin Kast
RP200356pe	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200356	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP200025pe	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
RP200025	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	Christopher Li
<b>Applications not considered by the PIC or Oversight Committee:</b>			
RP200006pe	Yogesh Gupta	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200018pe	Alexander Pertsemliadis	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200089pe	Raushan Kurmasheva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200111pe	Xiaojing Wang	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200114pe	Luiz Penalva	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200143pe	David Libich	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200144pe	Katsumi Kitagawa	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200215pe	Ratna Vadlamudi	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200239pe	Yidong Chen	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200382pe	Patricia Dahia	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200398pe	Ann Griffith	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia
RP200416pe	Kyuson Yun	The Methodist Hospital Research Institute	Kristin Swanson
RP200436pe	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Jose Conejo-Garcia ; Kristin Swanson
RP200436	FENG-CHUN YANG	The University of Texas Health Science Center at San Antonio	Kristin Swanson
RP200063pe	WEIXING ZHAO	The University of Texas Health Science Center at San Antonio	Alan Tomkinson;W. Chazin
RP200092pe	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200092	Jason Huse	The University of Texas M. D. Anderson Cancer Center	John Petrini
RP200107pe	Samy Habib	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200169pe	Guo-Min Li	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200279pe	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200279*	Sang Eun Lee	The University of Texas Health Science Center at San Antonio	Alan Tomkinson
RP200367pe	Elizabeth Goldsmith	The University of Texas Southwestern Medical Center	Alan Tomkinson
RP200391pe	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200391	Y. Alan Wang	The University of Texas M. D. Anderson Cancer Center	Nabeel Bardeesy
RP200056pe	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200056	Maralice Conacci Sorrell	The University of Texas Southwestern Medical Center	Heather Christofk
RP200077pe	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Eric Fearon;Jean-Pierre Issa
RP200077	Xiangsheng Zuo	The University of Texas M. D. Anderson Cancer Center	Jean-Pierre Issa
RP200221pe	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200221*	Elisabeth Martinez	The University of Texas Southwestern Medical Center	Heather Christofk
RP200094pe	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200094	Ru Chen	Baylor College of Medicine	Gloria Petersen
RP200099pe	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200099*	Sheng Pan	The University of Texas Health Science Center at Houston	Gloria Petersen
RP200115pe	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200115	Ashish Deshmukh	The University of Texas Health Science Center at Houston	Thomas Brandon
RP200141pe	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200141	Lindsay Cowell	The University of Texas Southwestern Medical Center	Christopher Li;William Barlow
RP200159pe	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200159	Surendranath Shastri	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200193pe	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200193	Rita Ghosh	The University of Texas Health Science Center at San Antonio	William Barlow
RP200238pe	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200238	Divya Patel	The University of Texas Health Center at Tyler	Thomas Brandon
RP200260pe	Yi-Qian Nancy You	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305pe	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200305	Jason Robinson	The University of Texas M. D. Anderson Cancer Center	Thomas Brandon
RP200336pe	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200336	Paul Scheet	The University of Texas M. D. Anderson Cancer Center	Lorelei Mucci
RP200441pe	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200441*	Subrata Sen	The University of Texas M. D. Anderson Cancer Center	Gloria Petersen
RP200021pe	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200021	Li Zhang	The University of Texas at Dallas	Anna Wu;Ross Berbeco
RP200057pe	Kenneth Hoyt	The University of Texas at Dallas	Anna. Wu
RP200154pe	Kevin Burgess	Texas A&M University	Weibo Cai
RP200161pe	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200161	Ralph Mason	The University of Texas Southwestern Medical Center	Anna Wu;Ross Berbeco
RP200167pe	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200167	Mark Pagel	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200180pe	Joseph Maldjian	The University of Texas Southwestern Medical Center	Anna Wu
RP200192pe	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200192	Xun Jia	The University of Texas Southwestern Medical Center	Anna Wu
RP200214pe	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200214	Baowei Fei	The University of Texas at Dallas	Anna Wu
RP200256pe	Dawid Schellingerhout	The University of Texas M. D. Anderson Cancer Center	James Basilion
RP200280pe	Guiyang Hao	The University of Texas Southwestern Medical Center	Anna Wu
RP200351pe	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200351*	Kytai Nguyen	The University of Texas at Arlington	Anna Wu
RP200375pe	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200375	Lilie Lin	The University of Texas M. D. Anderson Cancer Center	David Mankoff
RP200479pe	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200479	Janet Zoldan	The University of Texas at Austin	Anna Wu
RP200495pe	Yujie Chi	The University of Texas at Arlington	Anna Wu
RP200497pe	Justyn Jaworski	The University of Texas at Arlington	Anna Wu
RP200497	Justyn Jaworski	The University of Texas at Arlington	Anna Wu

\*=not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP200291	Marina Konopleva	The University of Texas M. D. Anderson Cancer Center	Charles Mullighan
RP200408	Cullen Taniguchi	The University of Texas M. D. Anderson Cancer Center	Anne Tonachel

\*=not discussed

# **De-Identified Overall Evaluation Scores**

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# Individual investigator Research Awards for Prevention and Early Detection

Academic Research Cycle 20.1

## Final Scores for Fully Reviewed Applications

Application ID	Final Overall Evaluation Score
RP200409*	2.4
RP200383**	3.0
RP200025**	3.1
Nc	3.4
Nd	3.5
Ne	3.6
Nf	3.6
Ng	4.0
Nh	4.1
Ni	4.2
Nj	4.4
Nk	4.5
Nl	4.6
Nm	4.6
Nn	4.7
No	4.7
Np	4.7
Nq	4.7
Nr	4.7
Ns	4.7
Nt	5.1
Nu	5.3
Nv	5.3

\* = Approved for award on Feb. 19, 2020.

\*\* = Recommended for award by the Scientific Review Council (SRC) and deferred by the Program Integration Committee (PIC) on Feb. 4, 2020, to a future FY2020 PIC meeting date. Recommended by the PIC on Aug. 4, 2020.

## Individual Investigator Research Awards for Prevention and Early Detection

Academic Research Cycle 20.1

### Final Scores for Preliminary Evaluation

*These are the final overall evaluation scores for applications receiving preliminary evaluation that did not move forward to full review. The final overall evaluation score is an average of the preliminary evaluation scores assigned to each application by the primary reviewers.*

Application ID	Final Scores for Preliminary Evaluation
Daa	4.00
Dab	4.33
Dac	4.33
Dad	4.33
Dae	4.67
Daf	4.67
Dag	5.00
Dah	5.00
Dai	5.33
Daj	5.33
Dak	5.67
Dal	5.67
Dam	6.33
dan	8.00

# **Final Overall Evaluation Scores and Rank Order Scores**

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San Diego

**Ludwig Institute for  
Cancer Research Ltd**

January 17, 2020

**Richard D. Kolodner  
Ph.D.**

Head, Laboratory of  
Cancer Genetics  
San Diego Branch

Distinguished Professor of  
Cellular & Molecular  
Medicine, University of  
California San Diego School  
of Medicine

[rkolodner@ucsd.edu](mailto:rkolodner@ucsd.edu)

**San Diego Branch**  
UC San Diego School of  
Medicine  
CMM-East / Rm 3058  
9500 Gilman Dr - MC 0660  
La Jolla, CA 92093-0660

T 858 534 7804  
F 858 534 7750

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 research grant recommendations for Individual Investigator Research Awards (IIRA), Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRACA), Individual Investigator Research Awards for Prevention and Early Detection (IIRAP) and Individual Investigator Research Awards for Clinical Translation (IIRACT).

The SRC met on December 12, 2019 to consider the applications recommended by the peer review panels following their meetings that were held October 17, 2019 – October 24, 2019.

Recommended funding amounts and the overall evaluation score are stated for each grant application. The total amount for the applications recommended is \$49,554,090.

These recommendations meet the SRC's standards for grant award funding. These standards include selecting innovative research projects addressing critically important questions that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer, and exceptional potential for achieving future impact in basic, translational, population-based, or clinical research.

Sincerely yours,



Richard D. Kolodner, Ph.D.  
Chair, CPRIT Scientific Review Council

Attachment

Rank	Application ID	Award Mechanism	Score	Application Title	PI	PI Organization	Recommended Budget
1	RP200423	IIRA	1.2	Adipocyte-Producing Noncoding RNA Promotes Liver Cancer Immuno-resistance	Liuqing Yang	The University of Texas M. D. Anderson Cancer Center	\$900,000
2	RP200093	IIRA	1.6	Targeting Multiple Myeloma Stem Cell Niche	Nami McCarty	The University of Texas Health Science Center at Houston	\$900,000
3	RP200081	IIRA	1.7	Nucleostemin: A New Tumor Addictive Mechanism, Outcome Predictor, and Therapeutic Target for Hepatocellular Carcinoma	Robert Tsai	Texas A&M University System Health Science Center	\$900,000
4	RP200395	IIRA	1.7	Artificial Intelligence for the Peer Review of Radiation Therapy Treatments	Laurence Court	The University of Texas M. D. Anderson Cancer Center	\$900,000
5	RP200233	IIRA	1.8	Advance CT and Fluorescence Imaging of Kidney Cancers With Glutathione-Mediated Contrast Enhancements	Jie Zheng	The University of Texas at Dallas	\$900,000
6	RP200120	IIRA	1.9	Single-Cell Evaluation to Identify Tumor-Stroma Niches Driving the Transition From In Situ to Invasive Breast Cancer	Helen Piwnicka-Worms	The University of Texas M. D. Anderson Cancer Center	\$900,000
7	RP200023	IIRA	1.9	Off-the-Shelf, Cord-Derived iNK T Cells Engineered to Prevent GVHD and Relapse After Hematopoietic Stem Cell Transplantation	Jin Seon Im	The University of Texas M. D. Anderson Cancer Center	\$900,000
8	RP200271	IIRA	1.9	Development of a Novel Strategy for Tumor Delivery of MHC-I-Compatible Peptides for Cancer Immunotherapy	Zhen Fan	The University of Texas M. D. Anderson Cancer Center	\$900,000

9	RP200103	IIRACCA	2.0	Targeting Twist2 Pathway as a Potential Therapy of Rhabdomyosarcoma	Eric Olson	The University of Texas Southwestern Medical Center	\$1,137,104
10	RP200401	IIRA	2.0	Targeting MEK in EGFR-Amplified Glioblastoma	John de Groot	The University of Texas M. D. Anderson Cancer Center	\$900,000
11	RP200170	IIRA	2.0	Tumor-Secreted LIF Activates a Cytokine-Adipose-Hypothalamic Axis to Induce Cancer Cachexia	Rodney Infante	The University of Texas Southwestern Medical Center	\$900,000
12	RP200467	IIRA	2.0	SREBP-2-Dependent Oncometabolites and Intestinal Tumorigenesis	Luke Engelking	The University of Texas Southwestern Medical Center	\$900,000
13	RP200197	IIRA	2.0	Role of CMPK2 in Liver Inflammation and Hepatocellular Carcinoma	Shuang Liang	The University of Texas Southwestern Medical Center	\$900,000
14	RP200173	IIRACT	2.0	Modulating the Gut-Tumor Microbial Axis to Reverse Pancreatic Cancer Immunosuppression	FLORENCIA MCALLISTER	The University of Texas M. D. Anderson Cancer Center	\$2,067,105
15	RP200369	IIRACT	2.0	Targeting Alterations of the NOTCH1 Pathway in Head and Neck Squamous Cell Carcinoma (HNSCC)	Faye Johnson	The University of Texas M. D. Anderson Cancer Center	\$1,200,000
16	RP200223	IIRA	2.0	High-Sensitivity 19F MRI for Clinically Translatable Imaging of Adoptive NK Cell Brain Tumor Therapy	Konstantin Sokolov	The University of Texas M. D. Anderson Cancer Center	\$887,713
17	RP200021	IIRA	2.0	Optimizing Therapeutic Strategies Against Lung Cancer Using Multimodality Imaging	Li Zhang	The University of Texas at Dallas	\$900,000
18	RP200402	IIRA	2.1	Targeting Endothelial Transcriptional Networks in GBM	Joshua Wythe	Baylor College of Medicine	\$899,847
19	RP200390	IIRA	2.1	Heterogeneity of Enhancer Patterns in Colorectal Cancers—Mechanisms and Therapy	Kunal Rai	The University of Texas M. D. Anderson Cancer Center	\$898,872

20	RP200284	IIRA	2.1	Molecular Mechanism of NLRP12-Mediated Regulation of Colorectal Cancer	Hasan Zaki	The University of Texas Southwestern Medical Center	\$899,959
21	RP200110	IIRACCA	2.2	ALKBH5 as a Novel Promoter of Osteosarcoma Growth and Metastasis	Manjeet Rao	The University of Texas Health Science Center at San Antonio	\$1,200,000
22	RP200235	IIRA	2.2	Investigating the Role of CD38 as a Mechanism of Acquired Resistance to Immune Checkpoint Inhibitors in Lung Cancer	Don Gibbons	The University of Texas M. D. Anderson Cancer Center	\$900,000
23	RP200150	IIRA	2.2	Molecular Features Impacting Drug Resistance in Atypical EGFR Exon 18 and Exon 20 Mutant NSCLC and the Development of Novel Mutant-Selective Inhibitors	John Heymach	The University of Texas M. D. Anderson Cancer Center	\$900,000
24	RP200452	IIRA	2.2	Noninvasive Imaging and Quantification of the Cancer Mechanical Microenvironment to Monitor Cancer Progression and Predict Cancer Treatments	Raffaella Righetti	Texas A&M Engineering Experiment Station	\$900,000
25	RP200315	IIRA	2.3	CRAD Tumor Suppressor and Mucinous Adenocarcinoma	JAE-IL PARK	The University of Texas M. D. Anderson Cancer Center	\$900,000
26	RP200409	IIRAP	2.4	Transdiagnostic Cognitive Behavioral Therapy for Smokers With Anxiety and Depression	Matthew Gallagher	University of Houston	\$890,502

27	RP200381	IIRACCA	2.4	Doxorubicin-Induced Cardiotoxicity: Defining Blood and Echocardiogram Biomarkers in a Mouse Model and AYA Sarcoma Patients for Evaluating Exercise Interventions	Eugenie Kleinerman	The University of Texas M. D. Anderson Cancer Center	\$1,444,593
28	RP200443	IIRA	2.4	Spatial Profiling of Tumor-Immune Microenvironment by Multiplexed Single-Cell Imaging Mass Cytometry	Hyun-Sung Lee	Baylor College of Medicine	\$897,527
29	RP200456	IIRA	2.4	Clinical MR Spectroscopy Development of Malignancy Biomarkers in Gliomas	Changho Choi	The University of Texas Southwestern Medical Center	\$899,651
30	RP200287	IIRA	2.5	Elucidating Aberrant Splicing-Induced Immune Pathway Activation in RBM10-Deficient KRAS-Mutant NSCLC and Harnessing Its Potential for Precision Immunotherapy	Ferdinandos Skoulidis	The University of Texas M. D. Anderson Cancer Center	\$900,000
31	RP200181	IIRA	2.5	Can Microsurgeries Cure Lymphedema? An Objective Assessment	Melissa Aldrich	The University of Texas Health Science Center at Houston	\$900,000
32	RP200047	IIRA	2.6	KRAS Spatiotemporal Dynamics: Novel Therapeutic Targets	John Hancock	The University of Texas Health Science Center at Houston	\$900,000
33	RP200118	IIRA	2.6	PPAR-Alpha Modulation of DNA Sensing and Interferon Induction	Tiffany Reese	The University of Texas Southwestern Medical Center	\$900,000

34	RP200356	IIRACT	2.6	Circulating Tumor DNA-Defined Minimal Residual Disease in Colorectal Cancer	Arvind Dasari	The University of Texas M. D. Anderson Cancer Center	\$2,399,998
35	RP200439	IIRA	2.7	Targeting AKT Signaling in MAPK4-High Triple-Negative Breast Cancer	Feng Yang	Baylor College of Medicine	\$900,000
36	RP200432	IIRACCA	2.7	GD2 Expression and Response to Chemoimmunotherapy in Neuroblastoma	Charles Reynolds	Texas Tech University Health Sciences Center	\$1,196,214
37	RP200472	IIRA	2.8	Rational Combination Therapy for Aggressive Double-Hit Lymphoma	Yulin Li	The Methodist Hospital Research Institute	\$899,985
38	RP200464	IIRA	2.8	Arming an Oncolytic Herpes simplex Virus to "BiTE" Tumor Cells	Xiaoliu Zhang	University of Houston	\$702,581
39	RP200242	IIRA	2.9	Role of HOTTIP lncRNA in Leukemogenesis	Mingjiang Xu	The University of Texas Health Science Center at San Antonio	\$900,000
40	RP200254	IIRA	2.9	Interrogating the Senescence-Associated Secretory Phenotype and Its Dependence on the ATM Protein Kinase	Tanya Paull	The University of Texas at Austin	\$754,398
41	RP200392	IIRACT	2.9	Harnessing Aurora Kinase Inhibition-Induced Cell Death to Enhance Immunotherapy in HPV-Driven Cancers	Jagannadha Sastry	The University of Texas M. D. Anderson Cancer Center	\$1,199,997
42	RP200327	IIRA	3.0	Immune Checkpoint Regulation by the Integrated Stress Response Pathway in Lung Cancer	Kathryn O'Donnell	The University of Texas Southwestern Medical Center	\$900,000
43	RP200058	IIRACCA	3.0	Enhancing Cytarabine Response Through SAMHD1 Inhibition	Dmitri Ivanov	The University of Texas Health Science Center at San Antonio	\$1,198,659

44	RP200383	IIRAP	3.0	Improving Risk Prediction for Li-Fraumeni Syndrome: A Practical Tool for Clinical Health Care Providers	Banu Arun	The University of Texas M. D. Anderson Cancer Center	\$896,896
45	RP200135	IIRACCA	3.0	Targeting the CXCL10-CXCR3 Axis in Metastatic Osteosarcoma	Tsz-Kwong Man	Baylor College of Medicine	\$1,200,000
46	RP200385	IIRA	3.0	Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL	Linghua Wang	The University of Texas M. D. Anderson Cancer Center	\$899,020
47	RP200166	IIRA	3.1	Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer	Steven Millward	The University of Texas M. D. Anderson Cancer Center	\$900,000
48	RP200240	IIRA	3.1	A Hippo Pathway–Sensitized Genetic Screen for Regulators of Yap/Taz-Driven Hepatocellular Carcinoma	Randy Johnson	The University of Texas M. D. Anderson Cancer Center	\$899,999
49	RP200025	IIRAP	3.1	Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men	Erich Sturgis	The University of Texas M. D. Anderson Cancer Center	\$1,483,470

IIRA: Individual Investigator Research Awards  
 IIRACCA: Individual Investigator Research Awards for Cancer in Children and Adolescents  
 IIRAP: Individual Investigator Research Awards for Prevention and Early Detection  
 IIRACT: Individual Investigator Research Awards for Clinical Translation



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200025**  
**Individual Investigator Research Awards for**  
**Prevention and Early Detection**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 38 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer two award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



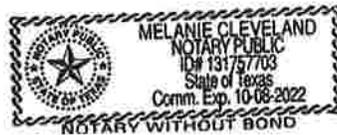
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 4 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:20 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards for Prevention and Early Detection  
**APPLICATION ID:** RP200025  
**APPLICATION TITLE:** Establishment of a Prospective Cohort at Risk for HPV-Related Cancers: Using HPV Testing at Mucosal Sites and Blood-Based Assays for Risk Stratification in Men  
**APPLICANT NAME:** Sturgis, Erich  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Cancer Prevention Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>05/31/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/02/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	12/06/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/13/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/25/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/17/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/27/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>08/09/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/21/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/20/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>Christopher Li</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/22/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>08/30/2019</b>
<b>Primary Reviewer 1 COI signed</b>		<b>09/12/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>10/11/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>08/28/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/27/2019</b>	12/27/2019
<b>Primary Reviewer 1 critique submitted</b>		<b>10/20/2019</b>	12/27/2019
<b>Primary Reviewer 2 critique submitted</b>		<b>10/13/2019</b>	12/27/2019
<b>Primary Reviewer 3 critique submitted</b>		<b>10/03/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 critique submitted</b>		<b>10/11/2019</b>	12/27/2019
<b>COI indicated by non-primary reviewer</b>		<b>Christopher Li</b>	12/27/2019
<b>COI recused from participation</b>		<b>YES</b>	12/27/2019
<b>Discussed at Peer Review Meeting</b>		<b>YES</b>	12/27/2019
<b>Peer Review Meeting</b>		<b>10/22/2019</b>	12/27/2019
<b>Post review statements signed</b>		<b>10/25/2019</b>	12/27/2019
<b>Third Party Observer Report</b>		<b>10/28/2019</b>	12/27/2019
<b>Score report delivered to CSO</b>		<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>		<b>YES</b>	12/27/2019
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200058**  
**Individual Investigator Research Awards for**  
**Cancer in Children and Adolescents**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 55 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

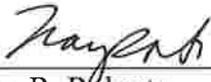
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer two award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



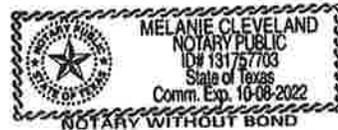
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**

**APPLICATION PEDIGREE**

**Date and time exported: 08/04/2020 20:15 PM**

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards for Cancer in Children and Adolescents  
**APPLICATION ID:** RP200058  
**APPLICATION TITLE:** Enhancing cytarabine response through SAMHD1 inhibition  
**APPLICANT NAME:** Ivanov, Dmitri  
**ORGANIZATION:** The University of Texas Health Science Center at San Antonio  
**PANEL NAME:** Basic Cancer Research-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/05/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/02/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	11/26/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/10/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/24/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>08/19/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/03/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/21/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>Jose Conejo-Garcia</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/23/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>09/04/2019</b>
<b>Primary Reviewer 1 COI signed</b>		<b>08/22/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>09/04/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>09/09/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/22/2019</b>	12/27/2019
<b>Primary Reviewer 1 critique submitted</b>		<b>10/03/2019</b>	12/27/2019
<b>Primary Reviewer 2 critique submitted</b>		<b>10/10/2019</b>	12/27/2019
<b>Primary Reviewer 3 critique submitted</b>		<b>10/12/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 critique submitted</b>		<b>09/19/2019</b>	12/27/2019
<b>COI indicated by non-primary reviewer</b>		<b>NONE</b>	12/27/2019
<b>COI recused from participation</b>		<b>NA</b>	12/27/2019
<b>Discussed at Peer Review Meeting</b>		<b>YES</b>	12/27/2019
<b>Peer Review Meeting</b>		<b>10/18/2019</b>	12/27/2019
<b>Post review statements signed</b>		<b>10/18/2019</b>	12/27/2019
<b>Third Party Observer Report</b>		<b>10/22/2019</b>	12/27/2019
<b>Score report delivered to CSO</b>		<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>		<b>YES</b>	12/27/2019
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200135**  
**Individual Investigator Research Awards for**  
**Cancer in Children and Adolescents**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Cancer in Children and Adolescents* Request for Applications (RFA). CPRIT received 55 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle

- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer two award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards for Cancer in Children and Adolescents  
**APPLICATION ID:** RP200135  
**APPLICATION TITLE:** Targeting the CXCL10-CXCR3 axis in metastatic osteosarcoma  
**APPLICANT NAME:** Man, Tsz-Kwong  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/05/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/02/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	12/06/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/22/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/24/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/29/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>08/16/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/09/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/20/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/22/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>08/30/2019</b>	12/27/2019
	<b>Primary Reviewer 1 COI signed</b>	<b>09/03/2019</b>	12/27/2019
	<b>Primary Reviewer 2 COI signed</b>	<b>09/09/2019</b>	12/27/2019
	<b>Primary Reviewer 3 COI signed</b>	<b>09/09/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/29/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>10/15/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>09/29/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>10/07/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>10/07/2019</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>10/24/2019</b>	12/27/2019
	<b>Post review statements signed</b>	<b>10/29/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>10/31/2019</b>	12/27/2019
	<b>Score report delivered to CSO</b>	<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>	<b>YES</b>	12/27/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
<b>Authority to advance funds requested</b>	<b>NA</b>		
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200166**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



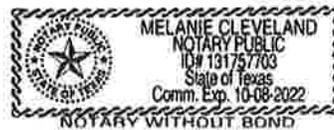
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200166  
**APPLICATION TITLE:** Targeted Inhibition of Autophagy for Treatment of Dormant Ovarian Cancer  
**APPLICANT NAME:** Millward, Steven W  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/03/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/06/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	12/05/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/18/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/24/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/26/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>08/16/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/23/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/19/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>Alan Tomkinson</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/23/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>08/30/2019</b>	12/27/2019
	<b>Primary Reviewer 1 COI signed</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary Reviewer 2 COI signed</b>	<b>10/09/2019</b>	12/27/2019
	<b>Primary Reviewer 3 COI signed</b>	<b>08/24/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/26/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>10/02/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>10/15/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>10/10/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>10/06/2019</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>Alan Tomkinson</b>	12/27/2019
	<b>COI recused from participation</b>	<b>YES</b>	12/27/2019
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>10/17/2019</b>	12/27/2019
	<b>Post review statements signed</b>	<b>10/17/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>10/22/2019</b>	12/27/2019
	<b>Score report delivered to CSO</b>	<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>	<b>YES</b>	12/27/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200240**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



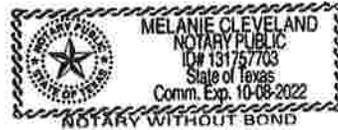
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200240  
**APPLICATION TITLE:** A Hippo pathway sensitized genetic screen for regulators of Yap/Taz driven hepatocellular carcinoma  
**APPLICANT NAME:** Johnson, Randy L  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/03/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/06/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	12/05/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/12/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>09/26/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>08/23/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/17/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/23/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>08/30/2019</b>	12/27/2019
	<b>Primary Reviewer 1 COI signed</b>	<b>10/09/2019</b>	12/27/2019
	<b>Primary Reviewer 2 COI signed</b>	<b>08/30/2019</b>	12/27/2019
	<b>Primary Reviewer 3 COI signed</b>	<b>10/09/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>09/26/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>10/14/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>09/25/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>10/12/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>10/07/2019</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>10/17/2019</b>	12/27/2019
	<b>Post review statements signed</b>	<b>10/17/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>10/22/2019</b>	12/27/2019
	<b>Score report delivered to CSO</b>	<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>	<b>YES</b>	12/27/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200242**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

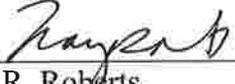
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

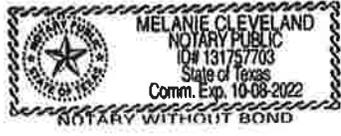
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



MELANIE CLEVELAND  
NOTARY PUBLIC  
ID# 131757703  
State of Texas  
Comm. Exp. 10-08-2022  
NOTARY WITHOUT BOND

# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200242  
**APPLICATION TITLE:** Role of HOTTIP lncRNA in leukemogenesis  
**APPLICANT NAME:** Xu, Mingjiang  
**ORGANIZATION:** The University of Texas Health Science Center at San Antonio  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/04/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/06/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	12/05/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/24/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/22/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/26/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>08/19/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/13/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/23/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>08/30/2019</b>	12/27/2019
	<b>Primary Reviewer 1 COI signed</b>	<b>09/02/2019</b>	12/27/2019
	<b>Primary Reviewer 2 COI signed</b>	<b>10/07/2019</b>	12/27/2019
	<b>Primary Reviewer 3 COI signed</b>	<b>08/26/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/26/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>10/09/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>10/10/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>10/11/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>10/08/2019</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>10/17/2019</b>	12/27/2019
	<b>Post review statements signed</b>	<b>10/17/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>10/22/2019</b>	12/27/2019
	<b>Score report delivered to CSO</b>	<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>	<b>YES</b>	12/27/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200254**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

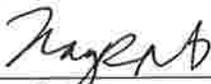
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
Melanie Cleveland  
Notary Public, State of Texas



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**

**APPLICATION PEDIGREE**

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200254  
**APPLICATION TITLE:** Interrogating the Senescence-Associated Secretory Phenotype and its dependence on the ATM protein kinase  
**APPLICANT NAME:** Paull, Tanya T  
**ORGANIZATION:** The University of Texas at Austin  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	Administrative review notification	NA
Donation(s) made to CPRIT / foundation		NO	12/27/2019
Assigned to primary reviewers		08/06/2019	12/27/2019
Applicant notified of review panel assignment		07/08/2019	12/05/2019
Primary Reviewer 1 COI signed		07/11/2019	12/27/2019
Primary Reviewer 2 COI signed		07/15/2019	12/27/2019
Primary Reviewer 3 COI signed		07/11/2019	12/27/2019
Primary (Advocate) Reviewer 4 COI signed		09/26/2019	12/27/2019
<b>Preliminary Evaluation</b>	Primary Reviewer 1 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/16/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/12/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	John Petrini	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/23/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
<b>Peer Review Meeting</b>	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/26/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	09/26/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/06/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/09/2019	12/27/2019
	Primary Reviewer 3 critique submitted	10/07/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/07/2019	12/27/2019
	COI indicated by non-primary reviewer	John Petrini	12/27/2019
	COI recused from participation	YES	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/17/2019	12/27/2019
	Post review statements signed	10/17/2019	12/27/2019
	Third Party Observer Report	10/22/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
Recommended for SRC review	YES	12/27/2019	
<b>Final SRC Recommendation</b>	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
<b>PIC Review</b>	COI indicated by PIC member	NONE	02/05/2020
	COI recused from participation	NA	02/05/2020
	PIC Review Meeting	02/04/2020	02/05/2020
	Recommended for grant award	Other: Application deferred	02/05/2020
	COI indicated by PIC member	None	08/04/2020
	COI recused from participation	NA	08/04/2020
	PIC Review Meeting	08/04/2020	08/04/2020
	Recommended for grant award	YES	08/04/2020
<b>Oversight Committee Approval</b>	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 RP200327**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

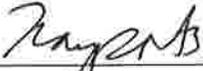
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



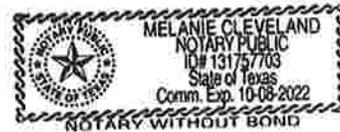
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**

**APPLICATION PEDIGREE**

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200327  
**APPLICATION TITLE:** Immune checkpoint regulation by the Integrated Stress Response pathway in lung cancer  
**APPLICANT NAME:** O'Donnell, Kathryn A  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** Basic Cancer Research-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/03/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/02/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	11/26/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/10/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/19/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/22/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>08/07/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/04/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/24/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/23/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>09/04/2019</b>	12/27/2019
	<b>Primary Reviewer 1 COI signed</b>	<b>09/17/2019</b>	12/27/2019
	<b>Primary Reviewer 2 COI signed</b>	<b>09/04/2019</b>	12/27/2019
	<b>Primary Reviewer 3 COI signed</b>	<b>09/04/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>10/09/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>10/09/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>10/16/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>09/15/2019</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>10/18/2019</b>	12/27/2019
	<b>Post review statements signed</b>	<b>10/18/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>10/22/2019</b>	12/27/2019
	<b>Score report delivered to CSO</b>	<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>	<b>YES</b>	12/27/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200383**  
**Individual Investigator Research Awards for**  
**Prevention and Early Detection**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Prevention and Early Detection* Request for Applications (RFA). CPRIT received 38 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer two award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

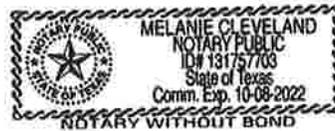
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

Wayne R. Roberts  
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 August, 2020,  
by WAYNE R. ROBERTS

Melanie Cleveland  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards for Prevention and Early Detection  
**APPLICATION ID:** RP200383  
**APPLICATION TITLE:** Improving risk prediction for Li-Fraumeni Syndrome: A practical tool for clinical health care providers  
**APPLICANT NAME:** Arun, Banu  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Cancer Prevention Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	06/04/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	Administrative review notification	NA
Donation(s) made to CPRIT / foundation		NO	12/27/2019
Assigned to primary reviewers		08/02/2019	12/27/2019
Applicant notified of review panel assignment		07/08/2019	12/06/2019
Primary Reviewer 1 COI signed		07/11/2019	12/27/2019
Primary Reviewer 2 COI signed		07/22/2019	12/27/2019
Primary Reviewer 3 COI signed		07/25/2019	12/27/2019
Primary (Advocate) Reviewer 4 COI signed		08/31/2019	12/27/2019
<b>Preliminary Evaluation</b>	Primary Reviewer 1 critique submitted	08/15/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/20/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/15/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
<b>Peer Review Meeting</b>	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	09/02/2019	12/27/2019
	Primary Reviewer 2 COI signed	09/01/2019	12/27/2019
	Primary Reviewer 3 COI signed	08/22/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/31/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/22/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/14/2019	12/27/2019
	Primary Reviewer 3 critique submitted	09/17/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/13/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/22/2019	12/27/2019
	Post review statements signed	10/25/2019	12/27/2019
	Third Party Observer Report	10/28/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
Recommended for SRC review	YES	12/27/2019	
<b>Final SRC Recommendation</b>	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
<b>PIC Review</b>	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
	COI indicated by PIC member	NONE	02/05/2020
	COI recused from participation	NA	02/05/2020
	PIC Review Meeting	02/04/2020	02/05/2020
	Recommended for grant award	Other: Application deferred	02/05/2020
<b>Oversight Committee Approval</b>	COI indicated by PIC member	None	08/04/2020
	COI recused from participation	NA	08/04/2020
	PIC Review Meeting	08/04/2020	08/04/2020
	Recommended for grant award	YES	08/04/2020
	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 RP200385**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

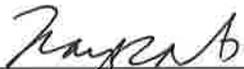
The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**

**APPLICATION PEDIGREE**

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200385  
**APPLICATION TITLE:** Predicting Response and Improving Efficacy of CAR T-cell Therapy in DLBCL  
**APPLICANT NAME:** Wang, Linghua  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/03/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/02/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	12/06/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/17/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/12/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/23/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>08/14/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/06/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/22/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>08/30/2019</b>
<b>Primary Reviewer 1 COI signed</b>		<b>08/28/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>09/06/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>09/06/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/23/2019</b>	12/27/2019
<b>Primary Reviewer 1 critique submitted</b>		<b>10/08/2019</b>	12/27/2019
<b>Primary Reviewer 2 critique submitted</b>		<b>09/16/2019</b>	12/27/2019
<b>Primary Reviewer 3 critique submitted</b>		<b>10/13/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 critique submitted</b>		<b>10/10/2019</b>	12/27/2019
<b>COI indicated by non-primary reviewer</b>		<b>NONE</b>	12/27/2019
<b>COI recused from participation</b>		<b>NA</b>	12/27/2019
<b>Discussed at Peer Review Meeting</b>		<b>YES</b>	12/27/2019
<b>Peer Review Meeting</b>		<b>10/24/2019</b>	12/27/2019
<b>Post review statements signed</b>		<b>10/29/2019</b>	12/27/2019
<b>Third Party Observer Report</b>		<b>10/31/2019</b>	12/27/2019
<b>Score report delivered to CSO</b>		<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>		<b>YES</b>	12/27/2019
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200392**  
**Individual Investigator Research Awards for**  
**Clinical Translation**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards for Clinical Translation* Request for Applications (RFA). CPRIT received 29 applications in response to this RFA, including 2 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer one award recommendation made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendation to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards for Clinical Translation  
**APPLICATION ID:** RP200392  
**APPLICATION TITLE:** Harnessing Aurora Kinase Inhibition-Induced Cell Death to Enhance Immunotherapy in HPV- Driven Cancers  
**APPLICANT NAME:** Sastry, Jagannadha K  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	RFA Approved by CSO	01/02/2019	10/03/2019
	RFA published in Texas.gov eGrants	01/10/2019	10/03/2019
	CPRIT Application Receipt System (CARS) opened	03/07/2019	10/03/2019
	CPRIT Application Receipt System (CARS) closed	06/05/2019	10/03/2019
	Date application submitted	05/31/2019	12/27/2019
	Method of submission	CARS	12/27/2019
	Within receipt period	YES	12/27/2019
	Request for extension to submit application after CARS closed	NA	12/27/2019
	Request for extension for late application submission accepted	NA	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	Administrative review notification	NA
Donation(s) made to CPRIT / foundation		NO	12/27/2019
Assigned to primary reviewers		08/02/2019	12/27/2019
Applicant notified of review panel assignment		07/08/2019	12/06/2019
Primary Reviewer 1 COI signed		07/17/2019	12/27/2019
Primary Reviewer 2 COI signed		07/25/2019	12/27/2019
Primary Reviewer 3 COI signed		07/15/2019	12/27/2019
Primary (Advocate) Reviewer 4 COI signed		08/23/2019	12/27/2019
<b>Preliminary Evaluation</b>	Primary Reviewer 1 critique submitted	08/16/2019	12/27/2019
	Primary Reviewer 2 critique submitted	08/18/2019	12/27/2019
	Primary Reviewer 3 critique submitted	08/18/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	NA	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	Preliminary Evaluation score summary sent to Chair	08/22/2019	12/27/2019
	Recommended for full review	YES	12/27/2019
	Applicant notified of outcome	09/27/2019	12/27/2019
<b>Peer Review Meeting</b>	Assigned to primary reviewers	08/30/2019	12/27/2019
	Primary Reviewer 1 COI signed	08/28/2019	12/27/2019
	Primary Reviewer 2 COI signed	08/22/2019	12/27/2019
	Primary Reviewer 3 COI signed	09/09/2019	12/27/2019
	Primary (Advocate) Reviewer 4 COI signed	08/23/2019	12/27/2019
	Primary Reviewer 1 critique submitted	10/02/2019	12/27/2019
	Primary Reviewer 2 critique submitted	10/15/2019	12/27/2019
	Primary Reviewer 3 critique submitted	09/29/2019	12/27/2019
	Primary (Advocate) Reviewer 4 critique submitted	10/10/2019	12/27/2019
	COI indicated by non-primary reviewer	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	Discussed at Peer Review Meeting	YES	12/27/2019
	Peer Review Meeting	10/24/2019	12/27/2019
	Post review statements signed	10/29/2019	12/27/2019
	Third Party Observer Report	10/31/2019	12/27/2019
	Score report delivered to CSO	11/07/2019	12/27/2019
	Recommended for SRC review	YES	12/27/2019
<b>Final SRC Recommendation</b>	COI indicated by SRC member	NONE	12/27/2019
	COI recused from participation	NA	12/27/2019
	SRC Meeting	12/12/2019	12/27/2019
	Third Party Observer Report	12/17/2019	12/27/2019
	Recommended for grant award	YES	12/27/2019
	SRC Chair Notification to PIC and OC	01/17/2020	01/20/2020
<b>PIC Review</b>	COI indicated by PIC member	NONE	02/05/2020
	COI recused from participation	NA	02/05/2020
	PIC Review Meeting	02/04/2020	02/05/2020
	Recommended for grant award	Other: Application deferred	02/05/2020
	COI indicated by PIC member	None	08/04/2020
	COI recused from participation	NA	08/04/2020
	PIC Review Meeting	08/04/2020	08/04/2020
	Recommended for grant award	YES	08/04/2020
<b>Oversight Committee Approval</b>	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 RP200464**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

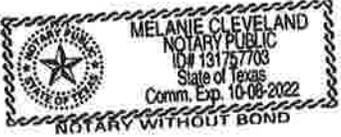
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200464  
**APPLICATION TITLE:** Arming an oncolytic herpes simplex virus to "BiTE" tumor cells  
**APPLICANT NAME:** Zhang, Xiaoliu  
**ORGANIZATION:** University of Houston  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019	
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019	
	<b>Date application submitted</b>	<b>06/04/2019</b>	12/27/2019	
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019	
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>	12/27/2019
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/02/2019</b>	12/27/2019	
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	12/06/2019	
<b>Primary Reviewer 1 COI signed</b>		<b>07/24/2019</b>	12/27/2019	
<b>Primary Reviewer 2 COI signed</b>		<b>07/15/2019</b>	12/27/2019	
<b>Primary Reviewer 3 COI signed</b>		<b>07/13/2019</b>	12/27/2019	
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/23/2019</b>	12/27/2019	
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>08/09/2019</b>	12/27/2019	
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/19/2019</b>	12/27/2019	
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/18/2019</b>	12/27/2019	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019	
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/22/2019</b>	12/27/2019	
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019	
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019	
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>08/30/2019</b>	12/27/2019	
	<b>Primary Reviewer 1 COI signed</b>	<b>08/22/2019</b>	12/27/2019	
	<b>Primary Reviewer 2 COI signed</b>	<b>08/23/2019</b>	12/27/2019	
	<b>Primary Reviewer 3 COI signed</b>	<b>09/27/2019</b>	12/27/2019	
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/23/2019</b>	12/27/2019	
	<b>Primary Reviewer 1 critique submitted</b>	<b>10/15/2019</b>	12/27/2019	
	<b>Primary Reviewer 2 critique submitted</b>	<b>10/13/2019</b>	12/27/2019	
	<b>Primary Reviewer 3 critique submitted</b>	<b>10/15/2019</b>	12/27/2019	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>09/21/2019</b>	12/27/2019	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019	
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019	
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	12/27/2019	
	<b>Peer Review Meeting</b>	<b>10/24/2019</b>	12/27/2019	
	<b>Post review statements signed</b>	<b>10/29/2019</b>	12/27/2019	
	<b>Third Party Observer Report</b>	<b>10/31/2019</b>	12/27/2019	
	<b>Score report delivered to CSO</b>	<b>11/07/2019</b>	12/27/2019	
	<b>Recommended for SRC review</b>	<b>YES</b>	12/27/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019	
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019	
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019	
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019	
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019	
	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020	
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020	
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020	
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020	
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NO</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200472**  
**Individual Investigator Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Individual Investigator Research Awards* Request for Applications (RFA). CPRIT received 265 applications in response to this RFA, including 16 applications that were withdrawn. This application was assigned to the Basic Cancer Research-1 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- Two de-identified lists of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

*The de-identified list for the applications that did not move past the preliminary evaluation review stage in this cycle is listed as “Final Scores for Preliminary Evaluations.” As explained in 25 T.A.C. § 703.6(e)(1)(C), it is the responsibility of the peer review panel chairperson to determine which grant applications move forward to full review from preliminary evaluation. The chairperson’s decision is based on several factors including the preliminary evaluation scores by the assigned primary reviewers and their comments.*

*The de-identified list for the applications that received full review is listed as ‘Final Scores for Fully Reviewed Applications.’*

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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. I conferred with CPRIT’s Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT’s scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel’s decision is based upon a number of factors, including the final score.

An application’s score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT’s review policies in creating the panel’s list of recommended awards.

On February 4, 2020, the Program Integration Committee (PIC) unanimously voted to defer eight award recommendations made by the Scientific Review Council for this mechanism to a future meeting date of the PIC. The decision resulted from the recommendation by the Chief Scientific Officer. At its August 4, 2020, meeting, the PIC voted to recommend the previously deferred award recommendations to the Oversight Committee.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have

also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have a approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**

**APPLICATION PEDIGREE**

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Research  
**MECHANISM:** Individual Investigator Research Awards  
**APPLICATION ID:** RP200472  
**APPLICATION TITLE:** Rational Combination Therapy for Aggressive Double-Hit Lymphoma  
**APPLICANT NAME:** Li, Yulin  
**ORGANIZATION:** The Methodist Hospital Research Institute  
**PANEL NAME:** Basic Cancer Research-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>01/02/2019</b>	10/03/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>01/10/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>03/07/2019</b>	10/03/2019
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>06/05/2019</b>	10/03/2019
	<b>Date application submitted</b>	<b>06/03/2019</b>	12/27/2019
	<b>Method of submission</b>	<b>CARS</b>	12/27/2019
	<b>Within receipt period</b>	<b>YES</b>	12/27/2019
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	12/27/2019
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	12/27/2019
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>07/03/2019</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	12/27/2019
<b>Assigned to primary reviewers</b>		<b>08/02/2019</b>	12/27/2019
<b>Applicant notified of review panel assignment</b>		<b>07/08/2019</b>	11/26/2019
<b>Primary Reviewer 1 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary Reviewer 2 COI signed</b>		<b>07/10/2019</b>	12/27/2019
<b>Primary Reviewer 3 COI signed</b>		<b>07/11/2019</b>	12/27/2019
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>08/22/2019</b>	12/27/2019
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>08/18/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>08/19/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>08/03/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>08/23/2019</b>	12/27/2019
	<b>Recommended for full review</b>	<b>YES</b>	12/27/2019
	<b>Applicant notified of outcome</b>	<b>09/27/2019</b>	12/27/2019
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>09/04/2019</b>	12/27/2019
	<b>Primary Reviewer 1 COI signed</b>	<b>08/23/2019</b>	12/27/2019
	<b>Primary Reviewer 2 COI signed</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary Reviewer 3 COI signed</b>	<b>09/17/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>08/22/2019</b>	12/27/2019
	<b>Primary Reviewer 1 critique submitted</b>	<b>10/08/2019</b>	12/27/2019
	<b>Primary Reviewer 2 critique submitted</b>	<b>10/06/2019</b>	12/27/2019
	<b>Primary Reviewer 3 critique submitted</b>	<b>10/09/2019</b>	12/27/2019
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>10/03/2019</b>	12/27/2019
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	12/27/2019
	<b>Peer Review Meeting</b>	<b>10/18/2019</b>	12/27/2019
	<b>Post review statements signed</b>	<b>10/18/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>10/22/2019</b>	12/27/2019
	<b>Score report delivered to CSO</b>	<b>11/07/2019</b>	12/27/2019
<b>Recommended for SRC review</b>	<b>YES</b>	12/27/2019	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	12/27/2019
	<b>COI recused from participation</b>	<b>NA</b>	12/27/2019
	<b>SRC Meeting</b>	<b>12/12/2019</b>	12/27/2019
	<b>Third Party Observer Report</b>	<b>12/17/2019</b>	12/27/2019
	<b>Recommended for grant award</b>	<b>YES</b>	12/27/2019
	<b>SRC Chair Notification to PIC and OC</b>	<b>01/17/2020</b>	01/20/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>NONE</b>	02/05/2020
	<b>COI recused from participation</b>	<b>NA</b>	02/05/2020
	<b>PIC Review Meeting</b>	<b>02/04/2020</b>	02/05/2020
	<b>Recommended for grant award</b>	<b>Other: Application deferred</b>	02/05/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200504**  
**Core Facility Support Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true."



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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 August, 2020,  
by WAYNE R. ROBERTS.

*Melanie Cleveland*

Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:15 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Core Facilities Support Awards  
**APPLICATION ID:** RP200504  
**APPLICATION TITLE:** Comprehensive Cancer Epigenomics Core Facility  
**APPLICANT NAME:** Chen, Rui  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/17/2020
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/11/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/17/2020
<b>Assigned to primary reviewers</b>		<b>03/06/2020</b>	06/17/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/28/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/06/2020</b>	06/17/2020
	<b>Primary Reviewer 1 COI signed</b>	<b>02/18/2020</b>	06/17/2020
	<b>Primary Reviewer 2 COI signed</b>	<b>02/18/2020</b>	06/17/2020
	<b>Primary Reviewer 3 COI signed</b>	<b>02/28/2020</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/18/2020</b>	06/17/2020
	<b>Primary Reviewer 1 critique submitted</b>	<b>03/26/2020</b>	06/17/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/06/2020</b>	06/17/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/14/2020</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>03/06/2020</b>	06/17/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/17/2020
	<b>COI recused from participation</b>	<b>NA</b>	06/17/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/17/2020
	<b>Peer Review Meeting</b>	<b>04/22/2020</b>	06/17/2020
	<b>Post review statements signed</b>	<b>06/03/2020</b>	06/17/2020
<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/07/2020	
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/17/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/17/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200509**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

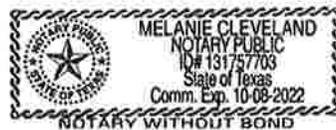
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

Melanie Cleveland  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:16 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200509  
**APPLICATION TITLE:** Genome-Wide DNA Methylation Markers for Predicting the Risk of Liver Cancer in Non- Alcoholic Fatty Livers  
**APPLICANT NAME:** Tsai, Robert  
**ORGANIZATION:** Texas A&M University System Health Science Center  
**PANEL NAME:** Cancer Prevention Research

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020	
	<b>RFA Approved by CSO (revised)</b>	<b>09/17/2019</b>	06/12/2020	
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020	
	<b>Date application submitted</b>	<b>01/07/2020</b>	06/17/2020	
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020	
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>	06/17/2020
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	06/17/2020
		<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/17/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020	
<b>Primary Reviewer 1 COI signed</b>		<b>02/18/2020</b>	06/17/2020	
<b>Primary Reviewer 2 COI signed</b>		<b>02/28/2020</b>	06/17/2020	
<b>Primary Reviewer 3 COI signed</b>		<b>02/24/2020</b>	06/17/2020	
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/25/2020</b>	06/17/2020	
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020	
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020	
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020	
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020	
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 COI signed</b>	<b>02/18/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 COI signed</b>	<b>02/28/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 COI signed</b>	<b>02/24/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/25/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/13/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/08/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/10/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>04/07/2020</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/17/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/17/2020	
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/17/2020	
	<b>Peer Review Meeting</b>	<b>04/20/2020</b>	06/17/2020	
	<b>Post review statements signed</b>	<b>05/19/2020</b>	06/17/2020	
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/08/2020	
	<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/17/2020	
	<b>Recommended for SRC review</b>	<b>YES</b>	06/17/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020	
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020	
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020	
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020	
	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NA</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200520**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Basic Cancer Research 2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

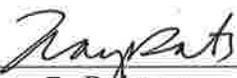
I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



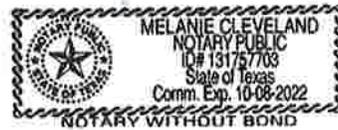
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Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:24 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200520  
**APPLICATION TITLE:** Developing single-cell RNAseq- based genetic screens to identify novel targets for cancer immunotherapy  
**APPLICANT NAME:** Peng, Weiyi  
**ORGANIZATION:** University of Houston  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/14/2020	06/16/2020	
	Method of submission	CARS	06/16/2020	
	Within receipt period	YES	06/16/2020	
	Request for extension to submit application after CARS closed	NA	06/16/2020	
	Request for extension for late application submission accepted	NA	06/16/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/16/2020
		Donation(s) made to CPRIT / foundation	NO	06/16/2020
		Assigned to primary reviewers	03/07/2020	06/16/2020
Applicant notified of review panel assignment		02/13/2020	06/12/2020	
Primary Reviewer 1 COI signed		03/04/2020	06/16/2020	
Primary Reviewer 2 COI signed		03/01/2020	06/16/2020	
Primary Reviewer 3 COI signed		02/18/2020	06/16/2020	
Primary (Advocate) Reviewer 4 COI signed		02/26/2020	06/16/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/16/2020	
	Primary Reviewer 2 critique submitted	NA	06/16/2020	
	Primary Reviewer 3 critique submitted	NA	06/16/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/16/2020	
	COI indicated by non-primary reviewer	NA	06/16/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/16/2020	
	Recommended for full review	NA	06/16/2020	
	Applicant notified of outcome	NA	06/16/2020	
Peer Review Meeting	Assigned to primary reviewers	03/07/2020	06/16/2020	
	Primary Reviewer 1 COI signed	03/04/2020	06/16/2020	
	Primary Reviewer 2 COI signed	03/01/2020	06/16/2020	
	Primary Reviewer 3 COI signed	02/18/2020	06/16/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/26/2020	06/16/2020	
	Primary Reviewer 1 critique submitted	04/09/2020	06/16/2020	
	Primary Reviewer 2 critique submitted	04/14/2020	06/16/2020	
	Primary Reviewer 3 critique submitted	04/01/2020	06/16/2020	
	Primary (Advocate) Reviewer 4 critique submitted	04/09/2020	06/16/2020	
	COI indicated by non-primary reviewer	NONE	06/16/2020	
	COI recused from participation	NA	06/16/2020	
	Discussed at Peer Review Meeting	YES	06/16/2020	
	Peer Review Meeting	04/17/2020	06/16/2020	
	Post review statements signed	05/17/2020	06/16/2020	
	Third Party Observer Report	05/21/2020	07/09/2020	
	Score report delivered to CSO	05/08/2020	06/16/2020	
	Recommended for SRC review	YES	06/16/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200526**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards Request for Applications (RFA)*. CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Imaging Technology & Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

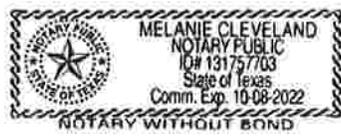
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:24 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200526  
**APPLICATION TITLE:** Development of Artificial Intelligence Framework for Assessment of Responses to Treatment and Automated Tumor Volume Measurement in Glioblastoma  
**APPLICANT NAME:** Zhu, Jay-Jiguang  
**ORGANIZATION:** The University of Texas Health Science Center at Houston  
**PANEL NAME:** Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020	
	<b>RFA Approved by CSO (revised)</b>	<b>09/17/2019</b>	06/12/2020	
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020	
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/18/2020	
	<b>Method of submission</b>	<b>CARS</b>	06/18/2020	
	<b>Within receipt period</b>	<b>YES</b>	06/18/2020	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/18/2020	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/18/2020	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/11/2020</b>	06/18/2020
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	06/18/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/18/2020	
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/18/2020	
<b>Primary Reviewer 1 COI signed</b>		<b>02/23/2020</b>	06/18/2020	
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/18/2020	
<b>Primary Reviewer 3 COI signed</b>		<b>03/03/2020</b>	06/18/2020	
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>03/02/2020</b>	06/18/2020	
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/18/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/18/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/18/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/18/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/18/2020	
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/18/2020	
	<b>Recommended for full review</b>	<b>NA</b>	06/18/2020	
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/18/2020	
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/18/2020	
	<b>Primary Reviewer 1 COI signed</b>	<b>02/23/2020</b>	06/18/2020	
	<b>Primary Reviewer 2 COI signed</b>	<b>02/18/2020</b>	06/18/2020	
	<b>Primary Reviewer 3 COI signed</b>	<b>03/03/2020</b>	06/18/2020	
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>03/02/2020</b>	06/18/2020	
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/09/2020</b>	06/18/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/15/2020</b>	06/18/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/21/2020</b>	06/18/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>04/12/2020</b>	06/18/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/18/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/18/2020	
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/18/2020	
	<b>Peer Review Meeting</b>	<b>04/21/2020</b>	06/18/2020	
	<b>Post review statements signed</b>	<b>05/18/2020</b>	06/18/2020	
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/08/2020	
	<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/18/2020	
	<b>Recommended for SRC review</b>	<b>YES</b>	06/18/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020	
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020	
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020	
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020	
	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NA</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200532**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Basic Cancer Research 2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

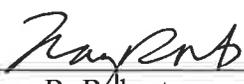
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true.”

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:24 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200532  
**APPLICATION TITLE:** Targeted Proteolysis of Glucocorticoid Receptor (GR) as a Therapeutic Strategy to Enhance Anti-Tumor Immunity  
**APPLICANT NAME:** Lissanu Deribe, Yonathan  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/09/2020	06/16/2020	
	Method of submission	CARS	06/16/2020	
	Within receipt period	YES	06/16/2020	
	Request for extension to submit application after CARS closed	NA	06/16/2020	
	Request for extension for late application submission accepted	NA	06/16/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/16/2020
		Donation(s) made to CPRIT / foundation	NO	06/16/2020
		Assigned to primary reviewers	03/07/2020	06/16/2020
Applicant notified of review panel assignment		02/13/2020	06/12/2020	
Primary Reviewer 1 COI signed		02/18/2020	06/16/2020	
Primary Reviewer 2 COI signed		02/27/2020	06/16/2020	
Primary Reviewer 3 COI signed		02/18/2020	06/16/2020	
Primary (Advocate) Reviewer 4 COI signed		03/16/2020	06/16/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/16/2020	
	Primary Reviewer 2 critique submitted	NA	06/16/2020	
	Primary Reviewer 3 critique submitted	NA	06/16/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/16/2020	
	COI indicated by non-primary reviewer	NA	06/16/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/16/2020	
	Recommended for full review	NA	06/16/2020	
	Applicant notified of outcome	NA	06/16/2020	
Peer Review Meeting	Assigned to primary reviewers	03/07/2020	06/16/2020	
	Primary Reviewer 1 COI signed	02/18/2020	06/16/2020	
	Primary Reviewer 2 COI signed	02/27/2020	06/16/2020	
	Primary Reviewer 3 COI signed	02/18/2020	06/16/2020	
	Primary (Advocate) Reviewer 4 COI signed	03/16/2020	06/16/2020	
	Primary Reviewer 1 critique submitted	04/09/2020	06/16/2020	
	Primary Reviewer 2 critique submitted	04/09/2020	06/16/2020	
	Primary Reviewer 3 critique submitted	04/09/2020	06/16/2020	
	Primary (Advocate) Reviewer 4 critique submitted	04/10/2020	06/16/2020	
	COI indicated by non-primary reviewer	NONE	06/16/2020	
	COI recused from participation	NA	06/16/2020	
	Discussed at Peer Review Meeting	YES	06/16/2020	
	Peer Review Meeting	04/17/2020	06/16/2020	
	Post review statements signed	05/17/2020	06/16/2020	
	Third Party Observer Report	05/21/2020	07/09/2020	
	Score report delivered to CSO	05/08/2020	06/16/2020	
	Recommended for SRC review	YES	06/16/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200537**  
**Collaborative Action Program to Reduce Liver Cancer Mortality in Texas:**  
**Investigator-Initiated Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards* Request for Applications (RFA). CPRIT received 16 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 6 day of August, 2020, by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:24 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards  
**APPLICATION ID:** RP200537  
**APPLICATION TITLE:** Genetic Epidemiology of Hepatocellular Carcinoma in Hispanics  
**APPLICANT NAME:** Thrift, Aaron P  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Cancer Prevention Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/17/2020
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/17/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/17/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/26/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/25/2020</b>	06/17/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/17/2020
	<b>Primary Reviewer 1 COI signed</b>	<b>02/18/2020</b>	06/17/2020
	<b>Primary Reviewer 2 COI signed</b>	<b>02/18/2020</b>	06/17/2020
	<b>Primary Reviewer 3 COI signed</b>	<b>02/26/2020</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/25/2020</b>	06/17/2020
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/13/2020</b>	06/17/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/04/2020</b>	06/17/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/06/2020</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>04/07/2020</b>	06/17/2020
	<b>COI indicated by non-primary reviewer</b>	<b>Christopher Haiman</b>	06/17/2020
	<b>COI recused from participation</b>	<b>YES</b>	06/17/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/17/2020
	<b>Peer Review Meeting</b>	<b>04/20/2020</b>	06/17/2020
	<b>Post review statements signed</b>	<b>05/19/2020</b>	06/17/2020
<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/08/2020	
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/17/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/17/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200549**  
**Early Clinical Investigator Award**

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 *Early Clinical Investigator Award Request for Applications (RFA)*. CPRIT received eight applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



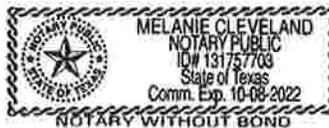
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 4 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:24 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Early Clinical Investigator Award  
**APPLICATION ID:** RP200549  
**APPLICATION TITLE:** Enhancing neoantigen expression and immune checkpoint inhibitor response using splicing modulators in hepatocellular carcinoma  
**APPLICANT NAME:** Arteaga, Carlos L  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/18/2020
	<b>Method of submission</b>	<b>CARS</b>	06/18/2020
	<b>Within receipt period</b>	<b>YES</b>	06/18/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/18/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/18/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/11/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/18/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/18/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/18/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/26/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/20/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/18/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/18/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/18/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/18/2020
	<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>
<b>Primary Reviewer 1 COI signed</b>		<b>02/26/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/20/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary Reviewer 1 critique submitted</b>		<b>04/15/2020</b>	06/18/2020
<b>Primary Reviewer 2 critique submitted</b>		<b>03/28/2020</b>	06/18/2020
<b>Primary Reviewer 3 critique submitted</b>		<b>04/15/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 critique submitted</b>		<b>03/27/2020</b>	06/18/2020
<b>COI indicated by non-primary reviewer</b>		<b>NONE</b>	06/18/2020
<b>COI recused from participation</b>		<b>NA</b>	06/18/2020
<b>Discussed at Peer Review Meeting</b>		<b>YES</b>	06/18/2020
<b>Peer Review Meeting</b>		<b>04/23/2020</b>	06/18/2020
<b>Post review statements signed</b>		<b>04/30/2020</b>	06/18/2020
<b>Third Party Observer Report</b>		<b>05/22/2020</b>	07/10/2020
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/18/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/18/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200554**  
**Collaborative Action Program to Reduce Liver Cancer Mortality in Texas:**  
**Investigator-Initiated Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards* Request for Applications (RFA). CPRIT received 16 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
 the 6 day of August, 2020,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:24 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards  
**APPLICATION ID:** RP200554  
**APPLICATION TITLE:** A Novel Risk Stratification and Early Detection Strategy to Reduce Liver Cancer Mortality  
**APPLICANT NAME:** Singal, Amit  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** Cancer Prevention Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/17/2020
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/11/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/17/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/17/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/25/2020</b>	06/17/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/28/2020</b>	06/17/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/20/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020
	<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>
<b>Primary Reviewer 1 COI signed</b>		<b>02/25/2020</b>	06/17/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/28/2020</b>	06/17/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/20/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Primary Reviewer 1 critique submitted</b>		<b>03/26/2020</b>	06/17/2020
<b>Primary Reviewer 2 critique submitted</b>		<b>04/08/2020</b>	06/17/2020
<b>Primary Reviewer 3 critique submitted</b>		<b>04/12/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 critique submitted</b>		<b>04/09/2020</b>	06/17/2020
<b>COI indicated by non-primary reviewer</b>		<b>NONE</b>	06/17/2020
<b>COI recused from participation</b>		<b>NA</b>	06/17/2020
<b>Discussed at Peer Review Meeting</b>		<b>YES</b>	06/17/2020
<b>Peer Review Meeting</b>		<b>04/20/2020</b>	06/17/2020
<b>Post review statements signed</b>		<b>05/19/2020</b>	06/17/2020
<b>Third Party Observer Report</b>		<b>05/21/2020</b>	07/08/2020
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/17/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/17/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200572**  
**Core Facility Support Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true."

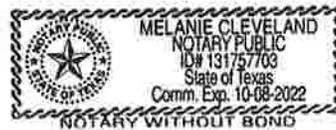
  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:24 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Core Facilities Support Awards  
**APPLICATION ID:** RP200572  
**APPLICATION TITLE:** From Whole Animal Imaging to Super-Resolution Microscopy: An Imaging Core for the TTUHSC Campus at Amarillo  
**APPLICANT NAME:** Bickel, Ulrich  
**ORGANIZATION:** Texas Tech University Health Sciences Center  
**PANEL NAME:** Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/18/2020
	<b>Method of submission</b>	<b>CARS</b>	06/18/2020
	<b>Within receipt period</b>	<b>YES</b>	06/18/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/18/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/18/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/18/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/18/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/18/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/28/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/28/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/18/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/18/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/18/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/18/2020
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/18/2020
	<b>Primary Reviewer 1 COI signed</b>	<b>02/18/2020</b>	06/18/2020
	<b>Primary Reviewer 2 COI signed</b>	<b>02/28/2020</b>	06/18/2020
	<b>Primary Reviewer 3 COI signed</b>	<b>02/28/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/18/2020</b>	06/18/2020
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/06/2020</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/14/2020</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/13/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>04/11/2020</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/18/2020
	<b>COI recused from participation</b>	<b>NA</b>	06/18/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/18/2020
	<b>Peer Review Meeting</b>	<b>04/21/2020</b>	06/18/2020
	<b>Post review statements signed</b>	<b>05/18/2020</b>	06/18/2020
<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/08/2020	
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/18/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/18/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
<b>Authority to advance funds requested</b>	<b>NA</b>		
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200573**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

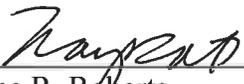
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200573  
**APPLICATION TITLE:** Low-cost non-conventional ultra-low-field MRI scanner for the next-generation MR-guided radiation therapy  
**APPLICANT NAME:** Jia, Xun  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/14/2020	06/18/2020	
	Method of submission	CARS	06/18/2020	
	Within receipt period	YES	06/18/2020	
	Request for extension to submit application after CARS closed	NA	06/18/2020	
	Request for extension for late application submission accepted	NA	06/18/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/18/2020
		Donation(s) made to CPRIT / foundation	NO	06/18/2020
		Assigned to primary reviewers	03/05/2020	06/18/2020
Applicant notified of review panel assignment		02/13/2020	06/18/2020	
Primary Reviewer 1 COI signed		02/18/2020	06/18/2020	
Primary Reviewer 2 COI signed		02/27/2020	06/18/2020	
Primary Reviewer 3 COI signed		02/18/2020	06/18/2020	
Primary (Advocate) Reviewer 4 COI signed		02/19/2020	06/18/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/18/2020	
	Primary Reviewer 2 critique submitted	NA	06/18/2020	
	Primary Reviewer 3 critique submitted	NA	06/18/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/18/2020	
	COI indicated by non-primary reviewer	NA	06/18/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/18/2020	
	Recommended for full review	NA	06/18/2020	
	Applicant notified of outcome	NA	06/18/2020	
Peer Review Meeting	Assigned to primary reviewers	03/05/2020	06/18/2020	
	Primary Reviewer 1 COI signed	02/18/2020	06/18/2020	
	Primary Reviewer 2 COI signed	02/27/2020	06/18/2020	
	Primary Reviewer 3 COI signed	02/18/2020	06/18/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/19/2020	06/18/2020	
	Primary Reviewer 1 critique submitted	04/07/2020	06/18/2020	
	Primary Reviewer 2 critique submitted	04/15/2020	06/18/2020	
	Primary Reviewer 3 critique submitted	04/15/2020	06/18/2020	
	Primary (Advocate) Reviewer 4 critique submitted	04/04/2020	06/18/2020	
	COI indicated by non-primary reviewer	NONE	06/18/2020	
	COI recused from participation	NA	06/18/2020	
	Discussed at Peer Review Meeting	YES	06/18/2020	
	Peer Review Meeting	04/23/2020	06/18/2020	
	Post review statements signed	04/30/2020	06/18/2020	
	Third Party Observer Report	05/22/2020	07/10/2020	
	Score report delivered to CSO	05/08/2020	06/18/2020	
	Recommended for SRC review	YES	06/18/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/10/2020	
	COI recused from participation	NA	07/10/2020	
	SRC Meeting	07/09/2020	07/10/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/10/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200574**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

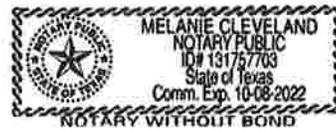
This statement is true.”

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200574  
**APPLICATION TITLE:** Targeting B cells to enhance responses to immune checkpoint blockade  
**APPLICANT NAME:** Wargo, Jennifer A  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020	
	<b>RFA Approved by CSO (revised)</b>	<b>09/17/2019</b>	06/12/2020	
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020	
	<b>Date application submitted</b>	<b>01/13/2020</b>	06/17/2020	
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020	
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/11/2020</b>	06/17/2020
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	06/17/2020
<b>Assigned to primary reviewers</b>		<b>03/06/2020</b>	06/17/2020	
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020	
<b>Primary Reviewer 1 COI signed</b>		<b>02/28/2020</b>	06/17/2020	
<b>Primary Reviewer 2 COI signed</b>		<b>02/27/2020</b>	06/17/2020	
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/17/2020	
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/17/2020	
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020	
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020	
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020	
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020	
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/06/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 COI signed</b>	<b>02/28/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 COI signed</b>	<b>02/27/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 COI signed</b>	<b>02/18/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/18/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/14/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/15/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/06/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>03/10/2020</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/17/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/17/2020	
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/17/2020	
	<b>Peer Review Meeting</b>	<b>04/22/2020</b>	06/17/2020	
	<b>Post review statements signed</b>	<b>06/03/2020</b>	06/17/2020	
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/07/2020	
	<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/17/2020	
	<b>Recommended for SRC review</b>	<b>YES</b>	06/17/2020	
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020
<b>COI recused from participation</b>		<b>NA</b>	07/14/2020	
<b>SRC Meeting</b>		<b>07/09/2020</b>	07/14/2020	
<b>Third Party Observer Report</b>		<b>07/15/2020</b>	07/16/2020	
<b>Recommended for grant award</b>		<b>YES</b>	07/14/2020	
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NA</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200584**  
**Early Clinical Investigator Award**

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 *Early Clinical Investigator Award Request for Applications (RFA)*. CPRIT received eight applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Early Clinical Investigator Award  
**APPLICATION ID:** RP200584  
**APPLICATION TITLE:** CPRIT Early Career Clinical Investigator Award for Applicant: Premal Lulla, MD  
**APPLICANT NAME:** Dickinson, Mary  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/18/2020
	<b>Method of submission</b>	<b>CARS</b>	06/18/2020
	<b>Within receipt period</b>	<b>YES</b>	06/18/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/18/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/18/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/18/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/18/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/18/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/19/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/19/2020</b>	06/18/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/18/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/18/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/18/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/18/2020
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/18/2020
	<b>Primary Reviewer 1 COI signed</b>	<b>02/19/2020</b>	06/18/2020
	<b>Primary Reviewer 2 COI signed</b>	<b>02/18/2020</b>	06/18/2020
	<b>Primary Reviewer 3 COI signed</b>	<b>02/18/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/19/2020</b>	06/18/2020
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/16/2020</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/15/2020</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/15/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>03/21/2020</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/18/2020
	<b>COI recused from participation</b>	<b>NA</b>	06/18/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/18/2020
	<b>Peer Review Meeting</b>	<b>04/23/2020</b>	06/18/2020
	<b>Post review statements signed</b>	<b>04/30/2020</b>	06/18/2020
	<b>Third Party Observer Report</b>	<b>05/22/2020</b>	07/10/2020
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/18/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/18/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200593**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



---

Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200593  
**APPLICATION TITLE:** High-throughput non-destructive enumeration and characterization of CTCs in whole blood by a thin film "tactile" microfluidics and holographic interferometry  
**APPLICANT NAME:** Sheng, Jian  
**ORGANIZATION:** Texas A&M University - Corpus Christi  
**PANEL NAME:** Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/15/2020	06/18/2020	
	Method of submission	CARS	06/18/2020	
	Within receipt period	YES	06/18/2020	
	Request for extension to submit application after CARS closed	NA	06/18/2020	
	Request for extension for late application submission accepted	NA	06/18/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/18/2020
		Donation(s) made to CPRIT / foundation	NO	06/18/2020
		Assigned to primary reviewers	03/05/2020	06/18/2020
Applicant notified of review panel assignment		02/13/2020	06/18/2020	
Primary Reviewer 1 COI signed		02/28/2020	06/18/2020	
Primary Reviewer 2 COI signed		02/18/2020	06/18/2020	
Primary Reviewer 3 COI signed		02/18/2020	06/18/2020	
Primary (Advocate) Reviewer 4 COI signed		02/18/2020	06/18/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/18/2020	
	Primary Reviewer 2 critique submitted	NA	06/18/2020	
	Primary Reviewer 3 critique submitted	NA	06/18/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/18/2020	
	COI indicated by non-primary reviewer	NA	06/18/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/18/2020	
	Recommended for full review	NA	06/18/2020	
	Applicant notified of outcome	NA	06/18/2020	
Peer Review Meeting	Assigned to primary reviewers	03/05/2020	06/18/2020	
	Primary Reviewer 1 COI signed	02/28/2020	06/18/2020	
	Primary Reviewer 2 COI signed	02/18/2020	06/18/2020	
	Primary Reviewer 3 COI signed	02/18/2020	06/18/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/18/2020	06/18/2020	
	Primary Reviewer 1 critique submitted	04/07/2020	06/18/2020	
	Primary Reviewer 2 critique submitted	04/13/2020	06/18/2020	
	Primary Reviewer 3 critique submitted	04/15/2020	06/18/2020	
	Primary (Advocate) Reviewer 4 critique submitted	04/11/2020	06/18/2020	
	COI indicated by non-primary reviewer	NONE	06/18/2020	
	COI recused from participation	NA	06/18/2020	
	Discussed at Peer Review Meeting	YES	06/18/2020	
	Peer Review Meeting	04/21/2020	06/18/2020	
	Post review statements signed	05/18/2020	06/18/2020	
	Third Party Observer Report	05/21/2020	07/08/2020	
	Score report delivered to CSO	05/08/2020	06/18/2020	
Recommended for SRC review	YES	06/18/2020		
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200595**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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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 August, 2020,  
by WAYNE R. ROBERTS.

  
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Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200595  
**APPLICATION TITLE:** SERBP1, epigenetic regulation and glioblastoma targeting  
**APPLICANT NAME:** Penalva, Luiz O  
**ORGANIZATION:** The University of Texas Health Science Center at San Antonio  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/15/2020	06/17/2020	
	Method of submission	CARS	06/17/2020	
	Within receipt period	YES	06/17/2020	
	Request for extension to submit application after CARS closed	NA	06/17/2020	
	Request for extension for late application submission accepted	NA	06/17/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/17/2020
		Donation(s) made to CPRIT / foundation	NO	06/17/2020
		Assigned to primary reviewers	03/06/2020	06/17/2020
Applicant notified of review panel assignment		02/13/2020	06/17/2020	
Primary Reviewer 1 COI signed		02/25/2020	06/17/2020	
Primary Reviewer 2 COI signed		02/28/2020	06/17/2020	
Primary Reviewer 3 COI signed		02/27/2020	06/17/2020	
Primary (Advocate) Reviewer 4 COI signed		02/21/2020	06/17/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/17/2020	
	Primary Reviewer 2 critique submitted	NA	06/17/2020	
	Primary Reviewer 3 critique submitted	NA	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/17/2020	
	COI indicated by non-primary reviewer	NA	06/17/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/17/2020	
	Recommended for full review	NA	06/17/2020	
	Applicant notified of outcome	NA	06/17/2020	
Peer Review Meeting	Assigned to primary reviewers	03/06/2020	06/17/2020	
	Primary Reviewer 1 COI signed	02/25/2020	06/17/2020	
	Primary Reviewer 2 COI signed	02/28/2020	06/17/2020	
	Primary Reviewer 3 COI signed	02/27/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/21/2020	06/17/2020	
	Primary Reviewer 1 critique submitted	04/14/2020	06/17/2020	
	Primary Reviewer 2 critique submitted	04/14/2020	06/17/2020	
	Primary Reviewer 3 critique submitted	04/14/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	03/17/2020	06/17/2020	
	COI indicated by non-primary reviewer	NONE	06/17/2020	
	COI recused from participation	NA	06/17/2020	
	Discussed at Peer Review Meeting	YES	06/17/2020	
	Peer Review Meeting	04/22/2020	06/17/2020	
	Post review statements signed	06/03/2020	06/17/2020	
	Third Party Observer Report	05/21/2020	07/07/2020	
	Score report delivered to CSO	05/08/2020	06/17/2020	
	Recommended for SRC review	YES	06/17/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200604**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

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CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

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- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

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In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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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 August, 2020,  
by WAYNE R. ROBERTS.

  
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Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200604  
**APPLICATION TITLE:** Targeting plasma membrane spatial dynamics to suppress obesity-induced colon cancer  
**APPLICANT NAME:** Chapkin, Robert S  
**ORGANIZATION:** Texas AgriLife Research  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
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	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/09/2020	06/17/2020	
	Method of submission	CARS	06/17/2020	
	Within receipt period	YES	06/17/2020	
	Request for extension to submit application after CARS closed	NA	06/17/2020	
	Request for extension for late application submission accepted	NA	06/17/2020	
	<b>Receipt, Referral, and Assignment</b>	Administrative review notification	02/11/2020	06/17/2020
		Donation(s) made to CPRIT / foundation	NO	06/17/2020
Assigned to primary reviewers		03/06/2020	06/17/2020	
Applicant notified of review panel assignment		02/13/2020	06/17/2020	
Primary Reviewer 1 COI signed		02/18/2020	06/17/2020	
Primary Reviewer 2 COI signed		02/27/2020	06/17/2020	
Primary Reviewer 3 COI signed		03/01/2020	06/17/2020	
Primary (Advocate) Reviewer 4 COI signed		02/18/2020	06/17/2020	
<b>Preliminary Evaluation</b>	Primary Reviewer 1 critique submitted	NA	06/17/2020	
	Primary Reviewer 2 critique submitted	NA	06/17/2020	
	Primary Reviewer 3 critique submitted	NA	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/17/2020	
	COI indicated by non-primary reviewer	NA	06/17/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/17/2020	
	Recommended for full review	NA	06/17/2020	
	Applicant notified of outcome	NA	06/17/2020	
<b>Peer Review Meeting</b>	Assigned to primary reviewers	03/06/2020	06/17/2020	
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	Primary Reviewer 2 COI signed	02/27/2020	06/17/2020	
	Primary Reviewer 3 COI signed	03/01/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/18/2020	06/17/2020	
	Primary Reviewer 1 critique submitted	04/14/2020	06/17/2020	
	Primary Reviewer 2 critique submitted	04/15/2020	06/17/2020	
	Primary Reviewer 3 critique submitted	04/15/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	03/10/2020	06/17/2020	
	COI indicated by non-primary reviewer	Eric Fearon	06/17/2020	
	COI recused from participation	YES	06/17/2020	
	Discussed at Peer Review Meeting	YES	06/17/2020	
	Peer Review Meeting	04/22/2020	06/17/2020	
	Post review statements signed	06/03/2020	06/17/2020	
	Third Party Observer Report	05/21/2020	07/07/2020	
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Third Party Observer Report		07/15/2020	07/16/2020	
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	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
<b>Oversight Committee Approval</b>	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200612**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

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- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

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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 August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200612  
**APPLICATION TITLE:** Elucidating pre-metastatic niches at single cell resolution  
**APPLICANT NAME:** Giacotti, Filippo G  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020	
	<b>RFA Approved by CSO (revised)</b>	<b>09/17/2019</b>	06/12/2020	
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020	
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/17/2020	
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020	
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>	06/17/2020
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	06/17/2020
<b>Assigned to primary reviewers</b>		<b>03/06/2020</b>	06/17/2020	
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020	
<b>Primary Reviewer 1 COI signed</b>		<b>02/18/2020</b>	06/17/2020	
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/17/2020	
<b>Primary Reviewer 3 COI signed</b>		<b>02/27/2020</b>	06/17/2020	
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/21/2020</b>	06/17/2020	
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020	
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020	
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020	
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020	
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/06/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 COI signed</b>	<b>02/18/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 COI signed</b>	<b>02/18/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 COI signed</b>	<b>02/27/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/21/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/11/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/15/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/14/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>03/21/2020</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/17/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/17/2020	
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/17/2020	
	<b>Peer Review Meeting</b>	<b>04/22/2020</b>	06/17/2020	
	<b>Post review statements signed</b>	<b>06/03/2020</b>	06/17/2020	
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/07/2020	
	<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/17/2020	
	<b>Recommended for SRC review</b>	<b>YES</b>	06/17/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020	
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020	
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020	
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020	
	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NA</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200614**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Imaging Technology and Informatics panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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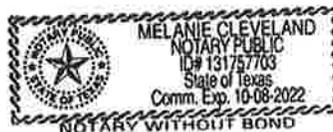
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 4 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200614  
**APPLICATION TITLE:** Novel Betabody-Drug Conjugates Targeting Phosphatidylserine for the Selective Delivery of Potent, Small-Molecule Payloads  
**APPLICANT NAME:** Pinney, Kevin G  
**ORGANIZATION:** Baylor University  
**PANEL NAME:** Imaging Technology and Informatics

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/15/2020	06/18/2020	
	Method of submission	CARS	06/18/2020	
	Within receipt period	YES	06/18/2020	
	Request for extension to submit application after CARS closed	NA	06/18/2020	
	Request for extension for late application submission accepted	NA	06/18/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/18/2020
		Donation(s) made to CPRIT / foundation	NO	06/18/2020
		Assigned to primary reviewers	03/05/2020	06/18/2020
Applicant notified of review panel assignment		02/13/2020	06/18/2020	
Primary Reviewer 1 COI signed		02/19/2020	06/18/2020	
Primary Reviewer 2 COI signed		02/25/2020	06/18/2020	
Primary Reviewer 3 COI signed		02/29/2020	06/18/2020	
Primary (Advocate) Reviewer 4 COI signed		03/02/2020	06/18/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/18/2020	
	Primary Reviewer 2 critique submitted	NA	06/18/2020	
	Primary Reviewer 3 critique submitted	NA	06/18/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/18/2020	
	COI indicated by non-primary reviewer	NA	06/18/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/18/2020	
	Recommended for full review	NA	06/18/2020	
	Applicant notified of outcome	NA	06/18/2020	
Peer Review Meeting	Assigned to primary reviewers	03/05/2020	06/18/2020	
	Primary Reviewer 1 COI signed	02/19/2020	06/18/2020	
	Primary Reviewer 2 COI signed	02/25/2020	06/18/2020	
	Primary Reviewer 3 COI signed	02/29/2020	06/18/2020	
	Primary (Advocate) Reviewer 4 COI signed	03/02/2020	06/18/2020	
	Primary Reviewer 1 critique submitted	04/11/2020	06/18/2020	
	Primary Reviewer 2 critique submitted	04/14/2020	06/18/2020	
	Primary Reviewer 3 critique submitted	04/15/2020	06/18/2020	
	Primary (Advocate) Reviewer 4 critique submitted	04/12/2020	06/18/2020	
	COI indicated by non-primary reviewer	Martin Pomper	06/18/2020	
	COI recused from participation	YES	06/18/2020	
	Discussed at Peer Review Meeting	YES	06/18/2020	
	Peer Review Meeting	04/21/2020	06/18/2020	
	Post review statements signed	05/18/2020	06/18/2020	
	Third Party Observer Report	05/21/2020	07/08/2020	
	Score report delivered to CSO	05/08/2020	06/18/2020	
	Recommended for SRC review	YES	06/18/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200615**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards Request for Applications (RFA)*. CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Basic Cancer Research 2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



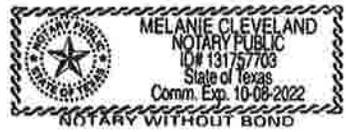
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Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200615  
**APPLICATION TITLE:** Small RNA Nanovector based Targeted Immunotherapy for Glioblastoma  
**APPLICANT NAME:** Lee, Tae Jin  
**ORGANIZATION:** The University of Texas Health Science Center at Houston  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020	
	<b>RFA Approved by CSO (revised)</b>	<b>09/17/2019</b>	06/12/2020	
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020	
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/16/2020	
	<b>Method of submission</b>	<b>CARS</b>	06/16/2020	
	<b>Within receipt period</b>	<b>YES</b>	06/16/2020	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/16/2020	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/16/2020	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>	06/16/2020
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	06/16/2020
		<b>Assigned to primary reviewers</b>	<b>03/07/2020</b>	06/16/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/12/2020	
<b>Primary Reviewer 1 COI signed</b>		<b>02/18/2020</b>	06/16/2020	
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/16/2020	
<b>Primary Reviewer 3 COI signed</b>		<b>02/28/2020</b>	06/16/2020	
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/26/2020</b>	06/16/2020	
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/16/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/16/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/16/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/16/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/16/2020	
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/16/2020	
	<b>Recommended for full review</b>	<b>NA</b>	06/16/2020	
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/16/2020	
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/07/2020</b>	06/16/2020	
	<b>Primary Reviewer 1 COI signed</b>	<b>02/18/2020</b>	06/16/2020	
	<b>Primary Reviewer 2 COI signed</b>	<b>02/18/2020</b>	06/16/2020	
	<b>Primary Reviewer 3 COI signed</b>	<b>02/28/2020</b>	06/16/2020	
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/26/2020</b>	06/16/2020	
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/07/2020</b>	06/16/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/08/2020</b>	06/16/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/08/2020</b>	06/16/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>04/04/2020</b>	06/16/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/16/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/16/2020	
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/16/2020	
	<b>Peer Review Meeting</b>	<b>04/17/2020</b>	06/16/2020	
	<b>Post review statements signed</b>	<b>05/17/2020</b>	06/16/2020	
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/09/2020	
	<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/16/2020	
	<b>Recommended for SRC review</b>	<b>YES</b>	06/16/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020	
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020	
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020	
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020	
	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NA</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200617**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

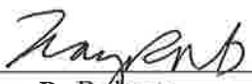
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true.”

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 4 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200617  
**APPLICATION TITLE:** Pathological Role of Neuronal Cell Cycle Re-entry in the Development of Chemotherapy- induced Peripheral Neuropathy  
**APPLICANT NAME:** Lee, Hyoung-gon  
**ORGANIZATION:** The University of Texas at San Antonio  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/15/2020	06/17/2020	
	Method of submission	CARS	06/17/2020	
	Within receipt period	YES	06/17/2020	
	Request for extension to submit application after CARS closed	NA	06/17/2020	
	Request for extension for late application submission accepted	NA	06/17/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/17/2020
		Donation(s) made to CPRIT / foundation	NO	06/17/2020
		Assigned to primary reviewers	03/06/2020	06/17/2020
Applicant notified of review panel assignment		02/13/2020	06/17/2020	
Primary Reviewer 1 COI signed		02/27/2020	06/17/2020	
Primary Reviewer 2 COI signed		02/18/2020	06/17/2020	
Primary Reviewer 3 COI signed		02/22/2020	06/17/2020	
Primary (Advocate) Reviewer 4 COI signed		02/21/2020	06/17/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/17/2020	
	Primary Reviewer 2 critique submitted	NA	06/17/2020	
	Primary Reviewer 3 critique submitted	NA	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/17/2020	
	COI indicated by non-primary reviewer	NA	06/17/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/17/2020	
	Recommended for full review	NA	06/17/2020	
	Applicant notified of outcome	NA	06/17/2020	
Peer Review Meeting	Assigned to primary reviewers	03/06/2020	06/17/2020	
	Primary Reviewer 1 COI signed	02/27/2020	06/17/2020	
	Primary Reviewer 2 COI signed	02/18/2020	06/17/2020	
	Primary Reviewer 3 COI signed	02/22/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/21/2020	06/17/2020	
	Primary Reviewer 1 critique submitted	04/14/2020	06/17/2020	
	Primary Reviewer 2 critique submitted	04/11/2020	06/17/2020	
	Primary Reviewer 3 critique submitted	04/14/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	03/21/2020	06/17/2020	
	COI indicated by non-primary reviewer	NONE	06/17/2020	
	COI recused from participation	NA	06/17/2020	
	Discussed at Peer Review Meeting	YES	06/17/2020	
	Peer Review Meeting	04/22/2020	06/17/2020	
	Post review statements signed	06/03/2020	06/17/2020	
	Third Party Observer Report	05/21/2020	07/07/2020	
	Score report delivered to CSO	05/08/2020	06/17/2020	
	Recommended for SRC review	YES	06/17/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200619**  
**Core Facility Support Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Basic Cancer Research Panel 2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Core Facilities Support Awards  
**APPLICATION ID:** RP200619  
**APPLICATION TITLE:** CPRIT RNA Therapeutics Core  
**APPLICANT NAME:** Cooke, John P  
**ORGANIZATION:** The Methodist Hospital Research Institute  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/13/2020</b>	06/16/2020
	<b>Method of submission</b>	<b>CARS</b>	06/16/2020
	<b>Within receipt period</b>	<b>YES</b>	06/16/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/16/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/16/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/16/2020
<b>Assigned to primary reviewers</b>		<b>03/07/2020</b>	06/16/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/12/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/28/2020</b>	06/16/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/16/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/16/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/26/2020</b>	06/16/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/16/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/16/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/16/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/16/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/16/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/16/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/16/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/16/2020
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/07/2020</b>	06/16/2020
	<b>Primary Reviewer 1 COI signed</b>	<b>02/28/2020</b>	06/16/2020
	<b>Primary Reviewer 2 COI signed</b>	<b>02/18/2020</b>	06/16/2020
	<b>Primary Reviewer 3 COI signed</b>	<b>02/18/2020</b>	06/16/2020
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/26/2020</b>	06/16/2020
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/05/2020</b>	06/16/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/04/2020</b>	06/16/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/09/2020</b>	06/16/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>04/08/2020</b>	06/16/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/16/2020
	<b>COI recused from participation</b>	<b>NA</b>	06/16/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/16/2020
	<b>Peer Review Meeting</b>	<b>04/17/2020</b>	06/16/2020
	<b>Post review statements signed</b>	<b>05/17/2020</b>	06/16/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/09/2020
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/16/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/16/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200620**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:25 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200620  
**APPLICATION TITLE:** Targeting Fatty Acid Synthesis in NAFLD Related HCC  
**APPLICANT NAME:** Dong, Bingning  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/14/2020	06/17/2020	
	Method of submission	CARS	06/17/2020	
	Within receipt period	YES	06/17/2020	
	Request for extension to submit application after CARS closed	NA	06/17/2020	
	Request for extension for late application submission accepted	NA	06/17/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/17/2020
		Donation(s) made to CPRIT / foundation	NO	06/17/2020
		Assigned to primary reviewers	03/06/2020	06/17/2020
Applicant notified of review panel assignment		02/13/2020	06/17/2020	
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Primary Reviewer 3 COI signed		02/27/2020	06/17/2020	
Primary (Advocate) Reviewer 4 COI signed		02/21/2020	06/17/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/17/2020	
	Primary Reviewer 2 critique submitted	NA	06/17/2020	
	Primary Reviewer 3 critique submitted	NA	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/17/2020	
	COI indicated by non-primary reviewer	NA	06/17/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/17/2020	
	Recommended for full review	NA	06/17/2020	
	Applicant notified of outcome	NA	06/17/2020	
Peer Review Meeting	Assigned to primary reviewers	03/06/2020	06/17/2020	
	Primary Reviewer 1 COI signed	02/19/2020	06/17/2020	
	Primary Reviewer 2 COI signed	02/27/2020	06/17/2020	
	Primary Reviewer 3 COI signed	02/27/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/21/2020	06/17/2020	
	Primary Reviewer 1 critique submitted	04/07/2020	06/17/2020	
	Primary Reviewer 2 critique submitted	04/14/2020	06/17/2020	
	Primary Reviewer 3 critique submitted	04/13/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	03/22/2020	06/17/2020	
	COI indicated by non-primary reviewer	NONE	06/17/2020	
	COI recused from participation	NA	06/17/2020	
	Discussed at Peer Review Meeting	YES	06/17/2020	
	Peer Review Meeting	04/22/2020	06/17/2020	
	Post review statements signed	06/03/2020	06/17/2020	
	Third Party Observer Report	05/21/2020	07/07/2020	
	Score report delivered to CSO	05/08/2020	06/17/2020	
	Recommended for SRC review	YES	06/17/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200633**  
**Collaborative Action Program to Reduce Liver Cancer Mortality in Texas:**  
**Investigator-Initiated Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards* Request for Applications (RFA). CPRIT received 16 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Cancer Prevention Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle

- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 6 day of August, 2020, by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:26 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Collaborative Action Program to Reduce Liver Cancer Mortality in Texas: Investigator-Initiated Research Awards  
**APPLICATION ID:** RP200633  
**APPLICATION TITLE:** Reducing disparities in the risk of hepatocellular cancer  
**APPLICANT NAME:** KANWAL, FASIHA  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Cancer Prevention Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/17/2020
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/17/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/17/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/26/2020</b>	06/17/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/20/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/25/2020</b>	06/17/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020
	<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>
<b>Primary Reviewer 1 COI signed</b>		<b>02/26/2020</b>	06/17/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/17/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/20/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/25/2020</b>	06/17/2020
<b>Primary Reviewer 1 critique submitted</b>		<b>04/06/2020</b>	06/17/2020
<b>Primary Reviewer 2 critique submitted</b>		<b>04/04/2020</b>	06/17/2020
<b>Primary Reviewer 3 critique submitted</b>		<b>04/03/2020</b>	06/17/2020
<b>Primary (Advocate) Reviewer 4 critique submitted</b>		<b>04/10/2020</b>	06/17/2020
<b>COI indicated by non-primary reviewer</b>		<b>NONE</b>	06/17/2020
<b>COI recused from participation</b>		<b>NA</b>	06/17/2020
<b>Discussed at Peer Review Meeting</b>		<b>YES</b>	06/17/2020
<b>Peer Review Meeting</b>		<b>04/20/2020</b>	06/17/2020
<b>Post review statements signed</b>		<b>05/19/2020</b>	06/17/2020
<b>Third Party Observer Report</b>		<b>05/21/2020</b>	07/08/2020
<b>Score report delivered to CSO</b>		<b>05/08/2020</b>	06/17/2020
<b>Recommended for SRC review</b>		<b>YES</b>	06/17/2020
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200650**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



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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 10 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:26 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200650  
**APPLICATION TITLE:** Characterization of Salmonella tumor targeting mechanisms and oncolytic potential  
**APPLICANT NAME:** Kenney, Linda J  
**ORGANIZATION:** The University of Texas Medical Branch at Galveston  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020	
	<b>RFA Approved by CSO (revised)</b>	<b>09/17/2019</b>	06/12/2020	
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020	
	<b>Date application submitted</b>	<b>01/15/2020</b>	06/17/2020	
	<b>Method of submission</b>	<b>CARS</b>	06/17/2020	
	<b>Within receipt period</b>	<b>YES</b>	06/17/2020	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/17/2020	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/17/2020	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>	06/17/2020
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	06/17/2020
<b>Assigned to primary reviewers</b>		<b>03/06/2020</b>	06/17/2020	
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/17/2020	
<b>Primary Reviewer 1 COI signed</b>		<b>02/24/2020</b>	06/17/2020	
<b>Primary Reviewer 2 COI signed</b>		<b>02/27/2020</b>	06/17/2020	
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/17/2020	
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/17/2020	
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/17/2020	
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/17/2020	
	<b>Recommended for full review</b>	<b>NA</b>	06/17/2020	
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/17/2020	
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/06/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 COI signed</b>	<b>02/24/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 COI signed</b>	<b>02/27/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 COI signed</b>	<b>02/18/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/18/2020</b>	06/17/2020	
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/13/2020</b>	06/17/2020	
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/15/2020</b>	06/17/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/14/2020</b>	06/17/2020	
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>03/10/2020</b>	06/17/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/17/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/17/2020	
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/17/2020	
	<b>Peer Review Meeting</b>	<b>04/22/2020</b>	06/17/2020	
	<b>Post review statements signed</b>	<b>06/03/2020</b>	06/17/2020	
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/07/2020	
	<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/17/2020	
	<b>Recommended for SRC review</b>	<b>YES</b>	06/17/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/14/2020	
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020	
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/14/2020	
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020	
	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NA</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200655**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Cancer Biology panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

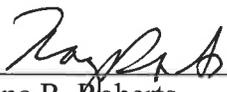
An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS,

Melanie Cleveland  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:26 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200655  
**APPLICATION TITLE:** A Novel Organoid Platform to Modulate Human Neural Networks Integrated with Glioblastoma Stem Cells  
**APPLICANT NAME:** Krencik, Robert  
**ORGANIZATION:** The Methodist Hospital Research Institute  
**PANEL NAME:** Cancer Biology

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/15/2020	06/17/2020	
	Method of submission	CARS	06/17/2020	
	Within receipt period	YES	06/17/2020	
	Request for extension to submit application after CARS closed	NA	06/17/2020	
	Request for extension for late application submission accepted	NA	06/17/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/17/2020
		Donation(s) made to CPRIT / foundation	NO	06/17/2020
		Assigned to primary reviewers	03/06/2020	06/17/2020
Applicant notified of review panel assignment		02/13/2020	06/17/2020	
Primary Reviewer 1 COI signed		02/24/2020	06/17/2020	
Primary Reviewer 2 COI signed		02/18/2020	06/17/2020	
Primary Reviewer 3 COI signed		02/22/2020	06/17/2020	
Primary (Advocate) Reviewer 4 COI signed		02/18/2020	06/17/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/17/2020	
	Primary Reviewer 2 critique submitted	NA	06/17/2020	
	Primary Reviewer 3 critique submitted	NA	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/17/2020	
	COI indicated by non-primary reviewer	NA	06/17/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/17/2020	
	Recommended for full review	NA	06/17/2020	
	Applicant notified of outcome	NA	06/17/2020	
Peer Review Meeting	Assigned to primary reviewers	03/06/2020	06/17/2020	
	Primary Reviewer 1 COI signed	02/24/2020	06/17/2020	
	Primary Reviewer 2 COI signed	02/18/2020	06/17/2020	
	Primary Reviewer 3 COI signed	02/22/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 COI signed	02/18/2020	06/17/2020	
	Primary Reviewer 1 critique submitted	04/14/2020	06/17/2020	
	Primary Reviewer 2 critique submitted	04/15/2020	06/17/2020	
	Primary Reviewer 3 critique submitted	04/14/2020	06/17/2020	
	Primary (Advocate) Reviewer 4 critique submitted	03/10/2020	06/17/2020	
	COI indicated by non-primary reviewer	NONE	06/17/2020	
	COI recused from participation	NA	06/17/2020	
	Discussed at Peer Review Meeting	YES	06/17/2020	
	Peer Review Meeting	04/22/2020	06/17/2020	
	Post review statements signed	06/03/2020	06/17/2020	
	Third Party Observer Report	05/21/2020	07/07/2020	
	Score report delivered to CSO	05/08/2020	06/17/2020	
	Recommended for SRC review	YES	06/17/2020	
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200657**  
**High-Impact/High-Risk Research Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *High-Impact/High-Risk Research Awards* Request for Applications (RFA). CPRIT received 107 applications in response to this RFA, including 3 application that were withdrawn. This application was assigned to the Basic Cancer Research 2 panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:26 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** High-Impact/High-Risk Research Awards  
**APPLICATION ID:** RP200657  
**APPLICATION TITLE:** Screening for melanoma genes using natural hybrid incompatibilities  
**APPLICANT NAME:** Scharl, Manfred  
**ORGANIZATION:** Texas State University - San Marcos  
**PANEL NAME:** Basic Cancer Research-2

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA Approved by CSO	08/20/2019	06/12/2020	
	RFA Approved by CSO (revised)	09/17/2019	06/12/2020	
	RFA published in Texas.gov eGrants	08/27/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) opened	10/16/2019	06/12/2020	
	CPRIT Application Receipt System (CARS) closed	01/15/2020	06/12/2020	
	Date application submitted	01/15/2020	06/16/2020	
	Method of submission	CARS	06/16/2020	
	Within receipt period	YES	06/16/2020	
	Request for extension to submit application after CARS closed	NA	06/16/2020	
	Request for extension for late application submission accepted	NA	06/16/2020	
	Receipt, Referral, and Assignment	Administrative review notification	NA	06/16/2020
		Donation(s) made to CPRIT / foundation	NO	06/16/2020
		Assigned to primary reviewers	03/07/2020	06/16/2020
Applicant notified of review panel assignment		02/13/2020	06/12/2020	
Primary Reviewer 1 COI signed		02/28/2020	06/16/2020	
Primary Reviewer 2 COI signed		02/28/2020	06/16/2020	
Primary Reviewer 3 COI signed		03/01/2020	06/16/2020	
Primary (Advocate) Reviewer 4 COI signed		03/16/2020	06/16/2020	
Preliminary Evaluation	Primary Reviewer 1 critique submitted	NA	06/16/2020	
	Primary Reviewer 2 critique submitted	NA	06/16/2020	
	Primary Reviewer 3 critique submitted	NA	06/16/2020	
	Primary (Advocate) Reviewer 4 critique submitted	NA	06/16/2020	
	COI indicated by non-primary reviewer	NA	06/16/2020	
	Preliminary Evaluation score summary sent to Chair	NA	06/16/2020	
	Recommended for full review	NA	06/16/2020	
	Applicant notified of outcome	NA	06/16/2020	
Peer Review Meeting	Assigned to primary reviewers	03/07/2020	06/16/2020	
	Primary Reviewer 1 COI signed	02/28/2020	06/16/2020	
	Primary Reviewer 2 COI signed	02/28/2020	06/16/2020	
	Primary Reviewer 3 COI signed	03/01/2020	06/16/2020	
	Primary (Advocate) Reviewer 4 COI signed	03/16/2020	06/16/2020	
	Primary Reviewer 1 critique submitted	04/08/2020	06/16/2020	
	Primary Reviewer 2 critique submitted	04/06/2020	06/16/2020	
	Primary Reviewer 3 critique submitted	04/15/2020	06/16/2020	
	Primary (Advocate) Reviewer 4 critique submitted	04/10/2020	06/16/2020	
	COI indicated by non-primary reviewer	NONE	06/16/2020	
	COI recused from participation	NA	06/16/2020	
	Discussed at Peer Review Meeting	YES	06/16/2020	
	Peer Review Meeting	04/17/2020	06/16/2020	
	Post review statements signed	05/17/2020	06/16/2020	
	Third Party Observer Report	05/21/2020	07/09/2020	
	Score report delivered to CSO	05/08/2020	06/16/2020	
Recommended for SRC review	YES	06/16/2020		
Final SRC Recommendation	COI indicated by SRC member	NONE	07/14/2020	
	COI recused from participation	NA	07/14/2020	
	SRC Meeting	07/09/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	SRC Chair Notification to PIC and OC	07/17/2020	07/20/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
	Advance authority approved by Oversight Committee	NA		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200668**  
**Core Facility Support Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Core Facility Support Awards* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

I note that some applications submitted in response to this RFA were not recommended for grant awards and have scores that are more favorable than some applications that were recommended for grant awards. I conferred with CPRIT's Chief Scientific Officer about this issue. Dr. Willson explained that each of CPRIT's scientific research review panels individually determines the applications that the panel forwards to the Scientific Review Council for grant award consideration. The panel's decision is based upon a number of factors, including the final score.

An application's score establishes its position relative to other applications reviewed by its assigned panel, but not relative to other panels. CPRIT has no policy that specifies a score that guarantees an application will or will not be recommended for funding. In this round, within each panel, no grant application with a less favorable score was recommended ahead of an application with a more favorable score.

The comprehensive list of de-identified application scores created for the purpose of this affidavit compiles the information for all panels into a single list. However, no individual panel was aware of the scores assigned by the other review panels. While one panel may determine that certain factors justify recommending an application for a grant award that has a score greater than 3.1, another panel may decide based on the totality of factors that an application with a score greater than 3.1 should not move forward. I am satisfied that the individual panels followed CPRIT's review policies in creating the panel's list of recommended awards.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules.

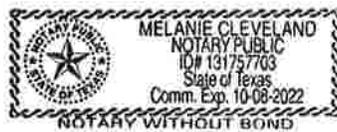
This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

Melanie Cleveland  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:26 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Core Facilities Support Awards  
**APPLICATION ID:** RP200668  
**APPLICATION TITLE:** The Combinatorial Drug Discovery Program (CDDP)  
**APPLICANT NAME:** Davies, Peter J  
**ORGANIZATION:** Texas A&M University System Health Science Center  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/14/2020</b>	06/18/2020
	<b>Method of submission</b>	<b>CARS</b>	06/18/2020
	<b>Within receipt period</b>	<b>YES</b>	06/18/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/18/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/18/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/18/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/18/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/18/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/26/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/01/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/18/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/18/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/18/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/18/2020
	<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>
<b>Primary Reviewer 1 COI signed</b>		<b>02/26/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/01/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary Reviewer 1 critique submitted</b>		<b>04/14/2020</b>	06/18/2020
<b>Primary Reviewer 2 critique submitted</b>		<b>04/05/2020</b>	06/18/2020
<b>Primary Reviewer 3 critique submitted</b>		<b>04/15/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 critique submitted</b>		<b>04/08/2020</b>	06/18/2020
<b>COI indicated by non-primary reviewer</b>		<b>NONE</b>	06/18/2020
<b>COI recused from participation</b>		<b>NA</b>	06/18/2020
<b>Discussed at Peer Review Meeting</b>		<b>YES</b>	06/18/2020
<b>Peer Review Meeting</b>		<b>04/23/2020</b>	06/18/2020
<b>Post review statements signed</b>		<b>04/30/2020</b>	06/18/2020
<b>Third Party Observer Report</b>		<b>05/22/2020</b>	07/10/2020
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/18/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/18/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200669**  
**Early Clinical Investigator Award**

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 *Early Clinical Investigator Award Request for Applications (RFA)*. CPRIT received eight applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

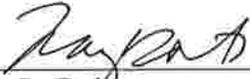
CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:26 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Early Clinical Investigator Award  
**APPLICATION ID:** RP200669  
**APPLICATION TITLE:** CPRIT Early Clinical Investigator Award-Chad Tang  
**APPLICANT NAME:** Draetta, Gulio  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/14/2020</b>	06/18/2020
	<b>Method of submission</b>	<b>CARS</b>	06/18/2020
	<b>Within receipt period</b>	<b>YES</b>	06/18/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/18/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/18/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/18/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/18/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/18/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/20/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/26/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/28/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/19/2020</b>	06/18/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/18/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/18/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/18/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/18/2020
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/18/2020
	<b>Primary Reviewer 1 COI signed</b>	<b>02/20/2020</b>	06/18/2020
	<b>Primary Reviewer 2 COI signed</b>	<b>02/26/2020</b>	06/18/2020
	<b>Primary Reviewer 3 COI signed</b>	<b>02/28/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/19/2020</b>	06/18/2020
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/05/2020</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/13/2020</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/11/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>03/22/2020</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/18/2020
	<b>COI recused from participation</b>	<b>NA</b>	06/18/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/18/2020
	<b>Peer Review Meeting</b>	<b>04/23/2020</b>	06/18/2020
	<b>Post review statements signed</b>	<b>04/30/2020</b>	06/18/2020
<b>Third Party Observer Report</b>	<b>05/22/2020</b>	07/10/2020	
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/18/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/18/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RP200670**  
**Early Clinical Investigator Award**

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 *Early Clinical Investigator Award Request for Applications (RFA)*. CPRIT received eight applications in response to this RFA. This application was assigned to the Clinical and Translational Cancer Research panel for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

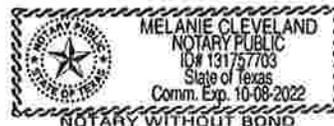
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
 the 6 day of August, 2020,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Research  
**MECHANISM:** Early Clinical Investigator Award  
**APPLICATION ID:** RP200670  
**APPLICATION TITLE:** Early Clinical Investigator Award- Nicolas Palaskas  
**APPLICANT NAME:** Draetta, Gulio  
**ORGANIZATION:** The University of Texas M. D. Anderson Cancer Center  
**PANEL NAME:** Clinical and Translational Cancer Research

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>08/20/2019</b>	06/12/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>08/27/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>10/16/2019</b>	06/12/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/15/2020</b>	06/12/2020
	<b>Date application submitted</b>	<b>01/14/2020</b>	06/18/2020
	<b>Method of submission</b>	<b>CARS</b>	06/18/2020
	<b>Within receipt period</b>	<b>YES</b>	06/18/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/18/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/18/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	06/18/2020
<b>Assigned to primary reviewers</b>		<b>03/05/2020</b>	06/18/2020
<b>Applicant notified of review panel assignment</b>		<b>02/13/2020</b>	06/18/2020
<b>Primary Reviewer 1 COI signed</b>		<b>02/28/2020</b>	06/18/2020
<b>Primary Reviewer 2 COI signed</b>		<b>02/19/2020</b>	06/18/2020
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/18/2020
<b>Primary (Advocate) Reviewer 4 COI signed</b>		<b>02/19/2020</b>	06/18/2020
<b>Preliminary Evaluation</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>NA</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NA</b>	06/18/2020
	<b>Preliminary Evaluation score summary sent to Chair</b>	<b>NA</b>	06/18/2020
	<b>Recommended for full review</b>	<b>NA</b>	06/18/2020
	<b>Applicant notified of outcome</b>	<b>NA</b>	06/18/2020
<b>Peer Review Meeting</b>	<b>Assigned to primary reviewers</b>	<b>03/05/2020</b>	06/18/2020
	<b>Primary Reviewer 1 COI signed</b>	<b>02/28/2020</b>	06/18/2020
	<b>Primary Reviewer 2 COI signed</b>	<b>02/19/2020</b>	06/18/2020
	<b>Primary Reviewer 3 COI signed</b>	<b>02/18/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 COI signed</b>	<b>02/19/2020</b>	06/18/2020
	<b>Primary Reviewer 1 critique submitted</b>	<b>04/09/2020</b>	06/18/2020
	<b>Primary Reviewer 2 critique submitted</b>	<b>04/15/2020</b>	06/18/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/15/2020</b>	06/18/2020
	<b>Primary (Advocate) Reviewer 4 critique submitted</b>	<b>04/04/2020</b>	06/18/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/18/2020
	<b>COI recused from participation</b>	<b>NA</b>	06/18/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	06/18/2020
	<b>Peer Review Meeting</b>	<b>04/23/2020</b>	06/18/2020
	<b>Post review statements signed</b>	<b>04/30/2020</b>	06/18/2020
<b>Third Party Observer Report</b>	<b>05/22/2020</b>	07/10/2020	
<b>Score report delivered to CSO</b>	<b>05/08/2020</b>	06/18/2020	
<b>Recommended for SRC review</b>	<b>YES</b>	06/18/2020	
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200063**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Hongjie Li, Ph.D.**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Recruitment of First-Time, Tenure-Track Faculty Members* Request for Applications (RFA). CPRIT received 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

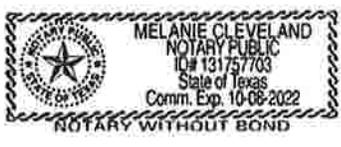
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas County of Travis
SWORN to and SUBSCRIBED before me, the undersigned authority, on the <u>6</u> day of <u>August</u> , 2020, by WAYNE R. ROBERTS.
 _____ Melanie Cleveland Notary Public, State of Texas


# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200063  
**APPLICATION TITLE:** Recruitment First-Time, Tenure-Track: Dr. Hongjie Li  
**APPLICANT NAME:** Dickinson, Mary  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Recruitment FY20\_Cycle 10

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened - 20.9</b>	<b>02/21/2020</b>	05/26/2020
	<b>CPRIT Application Receipt Cycle opened</b>	<b>03/23/2020</b>	05/26/2020
	<b>CPRIT Application Receipt Cycle closed - 20.9</b>	<b>03/20/2020</b>	05/26/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>04/20/2020</b>	05/26/2020
	<b>Date application submitted</b>	<b>03/17/2020</b>	05/26/2020
	<b>Method of submission</b>	<b>CARS</b>	05/26/2020
	<b>Within receipt period</b>	<b>YES</b>	05/26/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	05/26/2020
<b>Assigned to primary reviewers</b>		<b>05/01/2020</b>	05/26/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	05/26/2020
<b>Primary Reviewer 1 COI signed</b>		<b>04/27/2020</b>	05/26/2020
<b>Primary Reviewer 2 COI signed</b>		<b>04/27/2020</b>	05/26/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>05/12/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>05/12/2020</b>	05/26/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	05/26/2020
	<b>COI recused from participation</b>	<b>NA</b>	05/26/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	05/26/2020
	<b>Peer Review Meeting</b>	<b>05/14/2020</b>	05/26/2020
	<b>Post review statements signed</b>	<b>05/18/2020</b>	05/26/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	05/26/2020
	<b>Score report delivered to CSO</b>	<b>05/19/2020</b>	05/26/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	05/26/2020
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NA</b>	05/26/2020
	<b>COI recused from participation</b>	<b>NA</b>	05/26/2020
	<b>SRC Meeting</b>	<b>05/14/2020</b>	05/26/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	05/26/2020
	<b>Recommended for grant award</b>	<b>YES</b>	05/26/2020
	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200076**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Monica Pillon, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

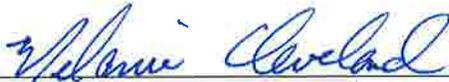
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200076  
**APPLICATION TITLE:** First-Time, Tenure-Track: Dr. Monica Pillon  
**APPLICANT NAME:** Dickinson, Mary  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Recruitment FY20\_Cycle 11

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>04/21/2020</b>	07/07/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>05/20/2020</b>	07/07/2020
	<b>Date application submitted</b>	<b>05/19/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>06/03/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	07/07/2020
<b>Primary Reviewer 1 COI signed</b>		<b>05/27/2020</b>	07/10/2020
<b>Primary Reviewer 2 COI signed</b>		<b>05/26/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>06/08/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>06/09/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>06/11/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>06/16/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Score report delivered to CSO</b>	<b>06/19/2020</b>	07/10/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	07/10/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NA</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>SRC Meeting</b>		<b>06/11/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200079**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Bruno Di Stefano, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
 the 6 day of August, 2020,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200079  
**APPLICATION TITLE:** First-Time, Tenure-Track: Dr. Bruno Di Stefano  
**APPLICANT NAME:** Dickinson, Mary  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Recruitment FY20\_Cycle 10

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>03/23/2020</b>	05/26/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>04/20/2020</b>	05/26/2020
	<b>Date application submitted</b>	<b>04/17/2020</b>	05/26/2020
	<b>Method of submission</b>	<b>CARS</b>	05/26/2020
	<b>Within receipt period</b>	<b>YES</b>	05/26/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	05/26/2020
<b>Assigned to primary reviewers</b>		<b>05/01/2020</b>	05/26/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	05/26/2020
<b>Primary Reviewer 1 COI signed</b>		<b>04/23/2020</b>	05/26/2020
<b>Primary Reviewer 2 COI signed</b>		<b>04/27/2020</b>	05/26/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>05/08/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>05/13/2020</b>	05/26/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	05/26/2020
	<b>COI recused from participation</b>	<b>NA</b>	05/26/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	05/26/2020
	<b>Peer Review Meeting</b>	<b>05/14/2020</b>	05/26/2020
	<b>Post review statements signed</b>	<b>05/18/2020</b>	05/26/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	05/26/2020
	<b>Score report delivered to CSO</b>	<b>05/19/2020</b>	05/26/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	05/26/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>
<b>COI recused from participation</b>		<b>NA</b>	05/26/2020
<b>SRC Meeting</b>		<b>05/14/2020</b>	05/26/2020
<b>Third Party Observer Report</b>		<b>05/21/2020</b>	05/26/2020
<b>Recommended for grant award</b>		<b>YES</b>	05/26/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200080**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Pengxiang Huang, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
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- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

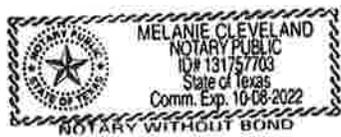
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200080  
**APPLICATION TITLE:** First-Time, Tenure-Track: Dr. Pengxiang Huang  
**APPLICANT NAME:** Dickinson, Mary  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** Recruitment FY20\_Cycle 10

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>03/23/2020</b>	05/26/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>04/20/2020</b>	05/26/2020
	<b>Date application submitted</b>	<b>04/17/2020</b>	05/26/2020
	<b>Method of submission</b>	<b>CARS</b>	05/26/2020
	<b>Within receipt period</b>	<b>YES</b>	05/26/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	05/26/2020
<b>Assigned to primary reviewers</b>		<b>05/01/2020</b>	05/26/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	05/26/2020
<b>Primary Reviewer 1 COI signed</b>		<b>04/27/2020</b>	05/26/2020
<b>Primary Reviewer 2 COI signed</b>		<b>04/27/2020</b>	05/26/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>05/12/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>05/13/2020</b>	05/26/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	05/26/2020
	<b>COI recused from participation</b>	<b>NA</b>	05/26/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	05/26/2020
	<b>Peer Review Meeting</b>	<b>05/14/2020</b>	05/26/2020
	<b>Post review statements signed</b>	<b>05/18/2020</b>	05/26/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	05/26/2020
	<b>Score report delivered to CSO</b>	<b>05/19/2020</b>	05/26/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	05/26/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>
<b>COI recused from participation</b>		<b>NA</b>	05/26/2020
<b>SRC Meeting</b>		<b>05/14/2020</b>	05/26/2020
<b>Third Party Observer Report</b>		<b>05/21/2020</b>	05/26/2020
<b>Recommended for grant award</b>		<b>YES</b>	05/26/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200084**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Xing Zeng, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."



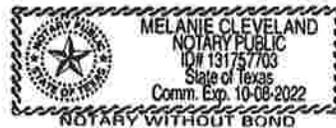
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200084  
**APPLICATION TITLE:** Nomination of Xing Zeng 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 10

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>03/23/2020</b>	05/26/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>04/20/2020</b>	05/26/2020
	<b>Date application submitted</b>	<b>04/16/2020</b>	05/26/2020
	<b>Method of submission</b>	<b>CARS</b>	05/26/2020
	<b>Within receipt period</b>	<b>YES</b>	05/26/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>04/27/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	05/26/2020
<b>Assigned to primary reviewers</b>		<b>05/01/2020</b>	05/26/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	05/26/2020
<b>Primary Reviewer 1 COI signed</b>		<b>04/23/2020</b>	05/26/2020
<b>Primary Reviewer 2 COI signed</b>		<b>04/23/2020</b>	05/26/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>05/12/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>05/08/2020</b>	05/26/2020
	<b>COI indicated by non-primary reviewer</b>	<b>Myles Brown</b>	05/26/2020
	<b>COI recused from participation</b>	<b>YES</b>	05/26/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	05/26/2020
	<b>Peer Review Meeting</b>	<b>05/14/2020</b>	05/26/2020
	<b>Post review statements signed</b>	<b>05/18/2020</b>	05/26/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	05/26/2020
	<b>Score report delivered to CSO</b>	<b>05/19/2020</b>	05/26/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	05/26/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>Myles Brown</b>
<b>COI recused from participation</b>		<b>YES</b>	05/26/2020
<b>SRC Meeting</b>		<b>05/14/2020</b>	05/26/2020
<b>Third Party Observer Report</b>		<b>05/21/2020</b>	05/26/2020
<b>Recommended for grant award</b>		<b>YES</b>	05/26/2020
<b>PIC Review</b>	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200089**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Peng Zhao, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
 the 6 day of August, 2020,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200089  
**APPLICATION TITLE:** Recruitment of First-Time Tenure-Track- Peng Zhao  
**APPLICANT NAME:** Hromas, Robert  
**ORGANIZATION:** The University of Texas Health Science Center at San Antonio  
**PANEL NAME:** Recruitment FY20\_Cycle 11

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>04/21/2020</b>	07/07/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>05/20/2020</b>	07/07/2020
	<b>Date application submitted</b>	<b>05/19/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>06/03/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	07/07/2020
<b>Primary Reviewer 1 COI signed</b>		<b>06/01/2020</b>	07/10/2020
<b>Primary Reviewer 2 COI signed</b>		<b>05/26/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>06/09/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>06/08/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>06/11/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>06/16/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Score report delivered to CSO</b>	<b>06/19/2020</b>	07/10/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	07/10/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NA</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>SRC Meeting</b>		<b>06/11/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200090**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Joshua Gruber, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

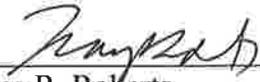
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- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

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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>August</u> , 2020, by WAYNE R. ROBERTS.
 _____ Melanie Cleveland Notary Public, State of Texas


# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200090  
**APPLICATION TITLE:** Nomination of Joshua Gruber 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 11

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>04/21/2020</b>	07/07/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>05/20/2020</b>	07/07/2020
	<b>Date application submitted</b>	<b>05/14/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>05/27/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>06/03/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	07/07/2020
<b>Primary Reviewer 1 COI signed</b>		<b>05/27/2020</b>	07/10/2020
<b>Primary Reviewer 2 COI signed</b>		<b>05/26/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>06/08/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>06/08/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>06/11/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>06/16/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Score report delivered to CSO</b>	<b>06/19/2020</b>	07/10/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	07/10/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NA</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>SRC Meeting</b>		<b>06/11/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200093**  
**Recruitment of Established Investigators**  
**Nomination of Dr. Jeffry Pollard, FMedSci, FRSE**

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 nine applications in response to this RFA including one application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

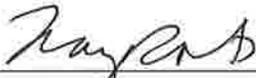
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- An overview of the conflict of interest process, including any conflict of interest waivers granted
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- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On July 7, 2020, I notified Oversight Committee members that I granted the Chief Scientific Officer, Dr. James Willson, a waiver from the general prohibition against communicating with a grant applicant under this RFA, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 6 day of August, 2020, by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of Established Investigators  
**APPLICATION ID:** RR200093  
**APPLICATION TITLE:** Deconvoluting the tumor microenvironment to enhance cancer immunotherapy  
**APPLICANT NAME:** Sostman, Henry D  
**ORGANIZATION:** The Methodist Hospital Research Institute  
**PANEL NAME:** Recruitment FY20\_Cycle 11

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>04/21/2020</b>	07/07/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>05/20/2020</b>	07/07/2020
	<b>Date application submitted</b>	<b>05/18/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>05/27/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>06/03/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	07/07/2020
<b>Primary Reviewer 1 COI signed</b>		<b>05/26/2020</b>	07/10/2020
<b>Primary Reviewer 2 COI signed</b>		<b>05/27/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>06/09/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>06/09/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>06/11/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>06/16/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Score report delivered to CSO</b>	<b>06/19/2020</b>	07/10/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	07/10/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NA</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>SRC Meeting</b>		<b>06/11/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200095**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Jin Chen, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

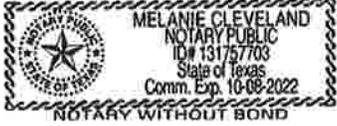
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
 the 4 day of August, 2020,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200095  
**APPLICATION TITLE:** Nomination of Jin Chen 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 11

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>04/21/2020</b>	07/07/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>05/20/2020</b>	07/07/2020
	<b>Date application submitted</b>	<b>05/19/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>06/03/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	07/07/2020
<b>Primary Reviewer 1 COI signed</b>		<b>05/26/2020</b>	07/10/2020
<b>Primary Reviewer 2 COI signed</b>		<b>06/01/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>06/10/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>06/10/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>06/11/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>06/16/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Score report delivered to CSO</b>	<b>06/19/2020</b>	07/10/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	07/10/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NA</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>SRC Meeting</b>		<b>06/11/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



---

CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200108**  
**Recruitment of First-Time, Tenure-Track Faculty Members**  
**Nomination of Andrew Sandstrom, 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 18 applications in response to this RFA, including 1 application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas County of Travis
SWORN to and SUBSCRIBED before me, the undersigned authority, on the <u>6</u> day of <u>August</u> , 2020, by WAYNE R. ROBERTS.
 _____ Melanie Cleveland Notary Public, State of Texas


# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of First-Time, Tenure-Track Faculty Members  
**APPLICATION ID:** RR200108  
**APPLICATION TITLE:** Nomination of Andrew Sandstrom 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 12

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>05/21/2020</b>	07/15/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>06/22/2020</b>	07/15/2020
	<b>Date application submitted</b>	<b>06/17/2020</b>	07/15/2020
	<b>Method of submission</b>	<b>CARS</b>	07/15/2020
	<b>Within receipt period</b>	<b>YES</b>	07/15/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>06/25/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/15/2020
<b>Assigned to primary reviewers</b>		<b>06/30/2020</b>	07/15/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	07/15/2020
<b>Primary Reviewer 1 COI signed</b>		<b>06/25/2020</b>	07/15/2020
<b>Primary Reviewer 2 COI signed</b>		<b>06/25/2020</b>	07/15/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>07/07/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>07/07/2020</b>	07/15/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/15/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/15/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/15/2020
	<b>Peer Review Meeting</b>	<b>07/09/2020</b>	07/15/2020
	<b>Post review statements signed</b>	<b>07/15/2020</b>	07/16/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Score report delivered to CSO</b>	<b>07/15/2020</b>	07/15/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	07/15/2020
<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>	07/15/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/15/2020
	<b>SRC Meeting</b>	<b>07/09/2020</b>	07/15/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/15/2020
	<b>SRC Chair Notification to PIC and OC</b>	<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted asst. prof. tenure track position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	

CPRIT retains the identity of the attesting party.



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application RR200112**  
**Recruitment of Established Investigators**  
**Nomination of David Gius, 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 nine applications in response to this RFA, including one application that was withdrawn. This application was assigned to the Scientific Review Council for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On July 7, 2020, I notified Oversight Committee members that I granted the Chief Scientific Officer, Dr. James Willson, a waiver from the general prohibition against communicating with a grant applicant under this RFA, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

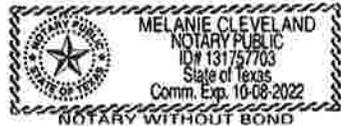
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 6 day of August, 2020, by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:37 PM

**FY:** 2020  
**CYCLE:** 1  
**PROGRAM:** Recruitment  
**MECHANISM:** Recruitment of Established Investigators  
**APPLICATION ID:** RR200112  
**APPLICATION TITLE:** Recruitment of Established Investigators, David Gius  
**APPLICANT NAME:** Hromas, Robert  
**ORGANIZATION:** The University of Texas Health Science Center at San Antonio  
**PANEL NAME:** Recruitment FY20\_Cycle 12

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CSO</b>	<b>06/18/2019</b>	09/13/2019
	<b>RFA published in Texas.gov eGrants</b>	<b>06/21/2019</b>	09/13/2019
	<b>CPRIT Application Receipt Cycle opened</b>	<b>05/21/2020</b>	07/15/2020
	<b>CPRIT Application Receipt Cycle closed</b>	<b>06/22/2020</b>	07/15/2020
	<b>Date application submitted</b>	<b>06/22/2020</b>	07/15/2020
	<b>Method of submission</b>	<b>CARS</b>	07/15/2020
	<b>Within receipt period</b>	<b>YES</b>	07/15/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/15/2020
<b>Assigned to primary reviewers</b>		<b>06/30/2020</b>	07/15/2020
<b>Applicant notified of review panel assignment</b>		<b>NA</b>	07/15/2020
<b>Primary Reviewer 1 COI signed</b>		<b>06/24/2020</b>	07/15/2020
<b>Primary Reviewer 2 COI signed</b>		<b>06/26/2020</b>	07/15/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>07/07/2020</b>
	<b>Primary Reviewer 2 critique submitted</b>	<b>07/06/2020</b>	07/15/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/15/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/15/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/15/2020
	<b>Peer Review Meeting</b>	<b>07/09/2020</b>	07/15/2020
	<b>Post review statements signed</b>	<b>07/15/2020</b>	07/16/2020
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020
	<b>Score report delivered to CSO</b>	<b>07/15/2020</b>	07/15/2020
	<b>Recommended for SRC review</b>	<b>YES</b>	07/15/2020
	<b>Final SRC Recommendation</b>	<b>COI indicated by SRC member</b>	<b>NONE</b>
<b>COI recused from participation</b>		<b>NA</b>	07/15/2020
<b>SRC Meeting</b>		<b>07/09/2020</b>	07/15/2020
<b>Third Party Observer Report</b>		<b>07/15/2020</b>	07/16/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/15/2020
<b>SRC Chair Notification to PIC and OC</b>		<b>07/17/2020</b>	07/20/2020
<b>PIC Review</b>	<b>Candidate not accepted position prior to SRC date</b>	<b>YES</b>	08/03/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NO</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 2**

***Expansion of Cancer Prevention Services to Rural and  
Medically Underserved Populations***

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA P-20.2-EPS**

**Expansion of Cancer Prevention Services to  
Rural and Medically Underserved Populations**

**Please also refer to the Instructions for Applicants document,  
which will be posted on November 11, 2019**

**Application Receipt Opening Date:** November 11, 2019

**Application Receipt Closing Date:** February 12, 2020

**FY 2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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## **RFA VERSION HISTORY**

Rev 10/15/2019 RFA release

## **1. ABOUT CPRIT**

The State of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Develop and implement the Texas Cancer Plan.

### **1.1 Prevention Program Priorities**

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Prevention Program's principles and priorities will also guide CPRIT staff and the Prevention Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

#### **Established Principles**

- Fund evidence-based interventions and their dissemination
- Support the prevention continuum of primary, secondary, and tertiary (includes survivorship) prevention interventions

#### **Prevention Program Priorities**

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

## 2. FUNDING OPPORTUNITY DESCRIPTION

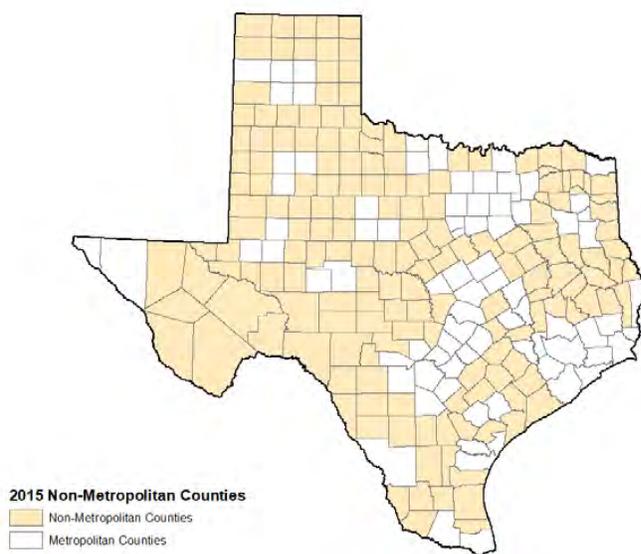
### 2.1 Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer.

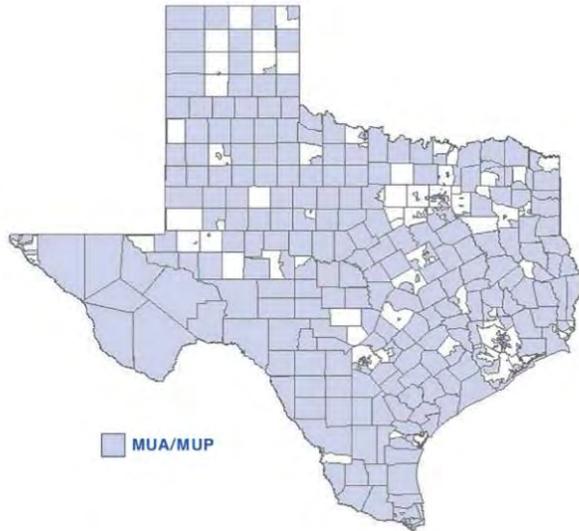
The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies. CPRIT fosters the prevention of cancer in Texas by providing financial support for a wide variety of evidence-based prevention interventions.

This award mechanism seeks to support the coordination and expansion of evidence-based services to prevent or screen for cancer in underserved populations who do not have adequate access to cancer prevention interventions and health care, bringing together networks of public health and community partners to carry out programs tailored for their communities. Projects should identify cancers that cause the most burden in the community and use evidence-based models to prevent and control these cancers.

**Eligible applicants include only those with currently or previously funded CPRIT Prevention projects).** Eligible applicants should propose to expand their programs to include additional types of prevention clinical services or to expand current clinical services into additional counties. In either case, the expansion must include the delivery of services to nonmetropolitan (rural) and/or medically underserved counties in the state. These may be identified via Web-based tools from the [Texas Department of State Health Services](#) and [US Department of Health and Human Services](#).



## Texas Medically Underserved Areas (MUA) and Populations (MUP)



Data source: US Health Resources and Services Administration Data Warehouse, October 2017

### 2.2 Project Objectives

CPRIT seeks to fund evidence-based prevention projects that will do the following:

- Expand an eligible CPRIT project by adding and integrating the delivery of 1 or more of the following to an existing project:
  - Screenings, rescreenings, and diagnostics for breast, cervical, colorectal cancers; hepatitis C virus; genetic risk factors
  - Vaccinations against HPV and hepatitis B virus
  - Evidence-based interventions focused on tobacco prevention (prevent tobacco use or sustained abstinence) and tobacco cessation among youth and/or adults
- Expand an eligible CPRIT project by adding and integrating the delivery of services to additional nonmetropolitan and/or medically underserved counties.

- Coordinate the resources (clinical service providers, community organizations, etc) in nonmetropolitan and medically underserved areas (MUAs) to increase the availability of services and, where providers are available, help connect people with their local health care providers.
- Leverage the infrastructure, networks, and resources that have been put in place by CPRIT supported projects while minimizing startup time.
- Deliver comprehensive projects comprising all of the following: public and/or professional education, outreach, delivery of clinical services, follow-up navigation, and system and/or policy improvements.
- Offer effective and efficient systems of delivery of prevention services based on the existing body of knowledge about, and evidence for, cancer prevention in ways that far exceed current performance in a given service area.
- Implement policy changes and/or system improvements that are sustainable over time (eg, decrease wait times between positive screen and diagnostic tests and treatment through improved navigation, reminder systems, etc).

### 2.3 Award Description

CPRIT's **Expansion of Cancer Prevention Services** grants are intended to fund the expansion of eligible projects that have demonstrated exemplary success, as evidenced by progress reports and project evaluations, and desire to further enhance their impact on priority populations. Detailed descriptions of **established infrastructure, results, barriers, outcomes, and impact of the most recently funded project are required** (see outline of Project Plan, [section 4.4.4](#)).

Projects in the last year of a current grant or previously funded projects may apply for this expansion. Programs must have at least 1 full year of data to report before applying (see [section 2.7](#) eligibility criteria).

This mechanism will fund case management/patient navigation to screening, to diagnostic testing, and to treatment. Applicants must ensure that there is access to treatment services for patients with precancer or cancers that are detected as a result of the project and must describe in detail the process for ensuring access to treatment services in their application.

Applicants should not request funds for any of the above components if these components are already being funded from other sources. If clinical services are being provided and paid by others, the applicant must explain and report on the outcomes and services that are delivered to the people navigated by the program.

The following are required components of the project:

- **Expansion:** Expansion to nonmetropolitan/MUA counties and/or offering additional clinical services are required. To qualify for this Expansion RFA, CPRIT requires applicants to either add the delivery of 1 or more of the following clinical services to their project or to expand to additional nonmetropolitan and/or MUA counties.
  - Screenings and rescreenings for breast, cervical, colorectal cancers; hepatitis C virus; genetic risk factors
  - Vaccinations against HPV; hepatitis B virus
  - Evidence-based interventions focused on tobacco prevention (prevent tobacco use or sustained abstinence) and tobacco cessation among youth and/or adults

Expansion of eligible projects into nonmetropolitan/medically underserved geographic areas not well served by the CPRIT portfolio (see maps at <https://www.cprit.texas.gov/our-programs/prevention/portfolio-maps>), will receive priority consideration.

- **Comprehensive Projects:** Comprehensive projects include a continuum of services and systems and policy changes and comprise all of the following: Public and/or professional education and training, outreach, delivery of screening and diagnostic services, follow-up navigation, data collection and tracking, and systems improvement.
- **Evidence Based:** CPRIT's service grants are intended to fund effective and efficient systems of delivery of prevention services based on the existing body of knowledge about and evidence for cancer prevention in ways that far exceed current performance in a given service area. The provision of clinical services, including rescreening at the appropriate interval, must comply with established and current national guidelines (eg, US Preventive Services Task Force [USPSTF], American Cancer Society, etc).

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the population and has a high likelihood of success. Baseline data (eg, availability of resources and

screening coverage) for the target population and target service region are required. If no baseline data exist, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline.

**Clinical Service and Community Partner Networks.** Applicants are encouraged to coordinate and describe a collaboration of clinical service providers and community partners that can deliver outreach, education, clinical, and navigation services to the most counties and the most people possible in a selected service region. Partnerships with other organizations that can support and leverage resources (ie, community-based organizations, local and voluntary agencies, nonprofit agencies, groups that represent priority populations, etc) are encouraged. Letters of commitment or memoranda of understanding describing their specific role in the partnership will strengthen the application. Leveraging of the infrastructure, existing networks and other resources that were established for the eligible CPRIT-funded project are expected and should be well described.

**Project Coordination and Technical Assistance.** The overall program should be directed and overseen by the Program Director (PD) who is responsible for establishing and managing the network. Responsibilities of the PD include the following:

- Establishing any necessary subcontracts or memoranda of understanding with project partners and clinical service providers;
- Regularly communicating with partners to discuss progress and barriers, resolve potential problems, and provide technical assistance as needed throughout the duration of the project;
- Meeting all reporting requirements. CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness.

If applicable, in cases where the project proposes to work with multiple clinical providers, the PD should facilitate the establishment of standard protocols for all clinical service providers in the network as well as standard systems, policies, and procedures for the participating clinical service providers and organizations. These may include, but are not limited to, patient tracking and timely follow-up of all abnormal screening results and/or diagnoses of cancer.

Under this RFA, CPRIT **will not** consider the following:

- **Continuation of currently funded projects.** Projects must include the required expansion criteria detailed in the RFA.
- **Projects focusing on computerized tomography screening for lung cancer for ages 55 to 77.** Applicants with projects including lung cancer CT screening should apply under CPRIT's Tobacco Control and Lung Cancer Screening RFA.
- **New evidence-based cancer prevention services projects;** these applicants should apply under CPRIT's Evidence-Based Cancer Prevention Services RFA.
- **Projects focused solely on systems and/or policy change or solely on education and/or outreach that do not include the delivery of cancer preventive clinical services.**
- **Projects focusing solely on case management/patient navigation services through the treatment phase of cancer.** Case management/patient navigation services must be paired with the delivery of a clinical cancer prevention service and reported to CPRIT.
- **Projects focused solely on counseling services with no additional evidence-based clinical services.**
- **Resources for the treatment of cancer or viral treatment for hepatitis.**
- **Prevention/intervention research** (Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at <http://www.cprit.texas.gov>).

## 2.4 Priorities

**Types of Cancer:** Applications addressing the services listed in [section 2.2](#) Project Objectives and that are responsive to this RFA will be considered for funding.

The Prevention Program's priorities for funding include the following:

### 1) **Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.**

CPRIT programs must address underserved populations. Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals
- Medically unserved or underserved populations

- Racial, ethnic, and cultural minority populations
- Populations with low screening rates, high incidence rates, and high mortality rates, focusing on individuals never before screened or who are significantly out of compliance with nationally recommended screening guidelines (more than 5 years for breast/cervical cancers).

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, American Cancer Society).

**2) Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.**

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. For this RFA, projects must propose to serve nonmetropolitan and/or MUAs of the state. In addition, projects addressing areas of emphasis (see [section 2.5](#)) will receive priority consideration.

**Geographic and Population Balance in Current CPRIT portfolio**

At the programmatic level of review conducted by the Prevention Review Council (see [section 5.1](#)), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see <https://www.cprit.texas.gov/our-programs/prevention/portfolio-maps> and <https://www.cprit.texas.gov/grants-funded?search=prevention>).

**2.5 Specific Areas of Emphasis**

Applications addressing any of the services listed in [section 2.2](#) and that are responsive to this RFA will be considered. For those services, CPRIT has identified the following areas of emphasis for this cycle of awards.

<b><u>Primary Prevention</u></b>
<b>HPV Vaccination</b>
<ul style="list-style-type: none"> <li>Increasing access to, delivery of, and completion of the HPV vaccine regimen to males and females through evidence-based intervention efforts in all areas of the state.<sup>1</sup></li> </ul>
<b>Tobacco Prevention and Control</b>
<ul style="list-style-type: none"> <li>Vulnerable and high-risk populations, including people with mental illness, history of substance abuse, youth, and pregnant women, that have higher tobacco usage rates than the general population.</li> <li>Areas that have higher smoking rates per capita than other areas of the state. Public Health Regions (PHR) 4, 5, and 9 have significantly higher tobacco use among adults than in other regions of the state.</li> </ul>
<b>Liver Cancer</b>
<ul style="list-style-type: none"> <li>Screening for HBV infection and HCV infection in populations at high risk of infection and 1-time screening for HCV infection in adults born between 1945 and 1965.</li> <li>Increasing screening rates in Public Health Region (PHR) 8, 9, 10, and 11, where the highest rates of cancer incidence and mortality are found.<sup>2</sup></li> </ul>
<b><u>Secondary Prevention - Screening and Early Detection Services</u></b>
<b>Colorectal Cancer</b>
<ul style="list-style-type: none"> <li>Decreasing disparities in incidence and mortality rates of colorectal cancer in racial/ethnic populations. Blacks have the highest incidence and mortality rates, followed by non-Hispanic whites and Hispanics.<sup>2</sup></li> <li>Increasing screening/detection rates in PHR 1, 2, 4, 5, and 9, where the highest rates of cancer incidence and mortality are found.</li> <li>Decreasing incidence and mortality rates in nonmetropolitan counties. Incidence and mortality rates are higher in nonmetropolitan counties compared with metropolitan counties.<sup>2</sup></li> </ul>
<b>Breast Cancer</b>
<ul style="list-style-type: none"> <li>Decreasing disparities in mortality rates of breast cancer in racial/ethnic populations. The mortality rate is significantly higher in blacks than in other populations.<sup>2</sup></li> <li>Increasing screening/detection rates in medically underserved areas of the state.</li> </ul>
<b>Cervical Cancer</b>
<ul style="list-style-type: none"> <li>Decreasing disparities in incidence and mortality rates of cervical cancer in racial/ethnic populations. Hispanics have the highest incidence rates while blacks have the highest mortality rates.<sup>2</sup></li> <li>Increasing screening/detection rates for women in PHR 2, 4, 5, and 11. Incidence is highest in Texas-Mexico border counties (PHR 5 and 11). The mortality rate is highest in PHR 2, 4, 5, and 11.<sup>2</sup></li> </ul>

## 2.6 Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified in the project plan and will serve as a measure of program effectiveness. Planned policy or system changes/improvements should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required.** In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline.

### Reporting Requirements

Funded projects are required to report quantitative output and outcome metrics (as appropriate for each project) through the submission of quarterly progress reports, annual reports, and a final report. If clinical services are being paid for and provided by others, the applicant is required to report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program.

- Quarterly progress report sections include, but are not limited to the following:
  - Summary page, including narrative on project progress (required);
  - Services, other than clinical services, provided to the public/professionals;
  - Actions taken by people/professionals as a result of education or training;
  - Clinical services provided (county of residence of client is required); and
  - Precursors and cancers detected.
- Annual and final progress report sections include, but are not limited to, the following:
  - Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change**
  - Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate comprehensive preventive services to eligible individuals in a defined service area
  - Materials produced and publications
  - Economic impact of the project

## 2.7 Eligibility

- Eligible applicants include only those with currently or previously funded CPRIT Prevention projects.
- To justify the expansion, applicants must leverage the infrastructure and networks of the most recently funded CPRIT project.
- Applicants may submit an expansion application before the end of the currently funded project but should time their submission during the last year of the current project to ensure minimal overlap of funding. Unexpended funds from the original project will not carry forward to the expansion project. To apply for an expansion of a current project, projects must have at least 1 full year of results and data.
- The applicant must be a Texas-based entity that previously received CPRIT funding through Prevention Program RFAs.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application is submitted.
- The designated Program Director (PD) will be responsible for the overall performance of the funded project. The PD must have relevant education and management experience and must reside in Texas during the project performance time.
- The evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.
- If the applicant or a partner is an existing Department of State Health Services (DSHS) contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.

- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization, (or any person related to 1 or more of these individuals within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation created to benefit CPRIT.
- The applicant must report whether the applicant organization, the PD, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way (whether slated to receive salary or compensation under the grant award or not), are currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. CPRIT grants are funded on a reimbursement-only basis. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 6](#). All statutory provisions and relevant administrative rules can be found [on the CPRIT website](#).

## 2.8 Resubmission Policy

- **One resubmission** is permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PD for a project or a change of title for a project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission.

- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing previous critiques is advisable; however, it does not guarantee the success of the resubmission.** All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

## 2.9 Funding Information

Applicants may request any amount of funding up to a maximum of \$2 million in total funding over a maximum of 36 months. A **significant expansion** in the geographic area and/or clinical services provided and number of people served is required if requesting \$2 million. However, CPRIT expects most applicants to request funding well below the upper range. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, and travel of project personnel to project site(s). Applicants must ensure that there is access to treatment services for patients with precancers or cancers that are detected as a result of the program and must describe access to treatment services in their application.

Requests for funds to support construction or renovation or requests to support lobbying will not be approved under this mechanism. Cost sharing for equipment purchases is encouraged. Grantees may request funds for travel for 2 project staff to attend CPRIT's conference.

The budget should be proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. In addition, CPRIT funding should not be used to replace existing funding, supplant funds that would normally be expended by the applicant's organization, or make up for funding reductions from other sources.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the **total** award amount.

### 3. KEY DATES

<b>RFA release</b>	October 15, 2019
<b>Online application opens</b>	November 11, 2019, 7 AM central time
<b>Application due</b>	February 12, 2020, 4 PM central time
<b>Application review</b>	March-July 2020
<b>Award notification</b>	August 2020
<b>Anticipated start date</b>	August 31, 2020

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

### 4. APPLICATION SUBMISSION GUIDELINES

#### 4.1 *Instructions for Applicants* document

It is imperative that applicants read the accompanying instructions document for this RFA that will be available November 11, 2019 (<https://CPRITGrants.org>). Requirements may have changed from previous versions.

#### 4.2 Online Application Receipt System

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The PD must create a user account in the system to start and submit an application. The Co-PD, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (an individual who will help manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on November 11, 2019, and must be submitted by 4 PM central time on February 12, 2020. Detailed instructions for submitting an application are in the *Instructions for Applicants* document, posted on CARS.

**Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### 4.3 Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

### 4.4 Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Refer to the *Instructions for Applicants* document for details.

**Submissions that are missing 1 or more components or do not meet the eligibility requirements may be administratively withdrawn without review.**

#### 4.4.1 Abstract and Significance (5,000 characters)

Clearly explain the problem(s) to be addressed, the approach(es) to the solution, and how the application is responsive to this RFA. In the event that the project is funded, the abstract will be made public; therefore, no proprietary information should be included in this statement. Initial compliance decisions are based in part upon review of this statement.

**The abstract format is as follows (use headings as outlined below):**

- **Need:** Include a description of need in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.
- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached and people (public and/or professionals) served.

- **Significance and Impact:** Explain how the proposed project, if successful, will have a major impact on cancer prevention and control for the population proposed to be served and for the State of Texas.

#### **4.4.2 Goals and Objectives (700 characters each)**

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within both the stated objective **and** the measure (eg, Measure: 2,000 individuals, age 9-12, will initiate HPV vaccination during the grant period). Refer to the *Instructions for Applicants* document for details. The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward outcome goals and objectives. See [Appendix B](#) for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not been defined, applicants are required to explain plans to establish baseline and describe method(s) of measurement.

#### **4.4.3 Project Timeline (2 pages)**

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1, 2, 3, and Months 1, 2, 3, etc, as applicable (eg, Year 1, Months 3-5) **instead of specific months or years**. Month 1 is the first full month of the grant award.

#### **4.4.4 Project Plan (12 pages; fewer pages permissible)**

*The required project plan format follows. Applicants must use the headings outlined below.*

**Background:** Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. Describe the race, ethnicity, age, and other defining characteristics of the population to be served.

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the

population and has a high likelihood of success. Baseline data for the priority population and target service area are required where applicable.

Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

**Goals and Objectives:** Process objectives should be included in the project plan. Outcome goals and objectives will be entered in separate fields in CARS. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here. See [Appendix B](#) for instructions on writing goals and objectives.

**Components of the Project:** Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative. Describe how the proposed project leverages the infrastructure, networks, and resources that have been put in place by the most recently funded CPRIT project while minimizing startup time.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see [Appendix A](#) for definitions and *Instructions for Applicants*). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. Describe the method(s) that will be used to recall for appropriate rescreening those individuals who have been screened through this project. Describe any planned policy changes or system improvements. If clinical services are being paid for and provided by others, the applicant must explain and report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program. Applicants must also clearly and thoroughly describe plans to **ensure access to treatment** services should precancer or cancer be detected.

**Evaluation Strategy:** A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. If needed, applicants may want to consider seeking expertise at Texas-based academic cancer centers, schools/programs of public health, or the like. Applicants should budget accordingly for the evaluation activity and should involve that professional during grant application preparation to ensure, among other things, that the evaluation plan is linked to the proposed goals and objectives.

**Organizational Qualifications and Capabilities:** Describe the organization and its track record and success in providing health programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. The applicant should demonstrate how the organizational environment will contribute to a successful project. If equipment or physical resources are required to carry out the project, the applicant should describe the availability of these resources and the organizational capacity to use the equipment. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

CPRIT acknowledges that full maintenance and sustainability of projects when CPRIT funding ends may not be feasible, especially in cases involving the delivery of clinical services. However, it is important to consider sustainability early in the life cycle of a project, particularly regarding organizational characteristics and processes that are modifiable.

Washington University in St Louis has developed a useful tool ([Program Sustainability Assessment Tool](#)) to assess program capacity for sustainability. The tool assesses several factors that contribute to program sustainability. These factors include environmental support, funding stability, partnerships, organizational capacity, program evaluation, program adaptation, communication and strategic planning. Applicants are not required to use this tool; however, it provides practical guidance on factors that should be considered and should be included in the application to describe a program's organizational capacity for sustainability.

It is expected that steps toward building sustainability capacity for the program will be taken and plans for such be briefly described in the application. The applicant should assess and describe the factors that will contribute to the organization's capacity to facilitate sustainability.

**Dissemination and Replication:** Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination efforts should consider the message, source, audience, and channel (Brownson, R.C., et al. [J Pub Health Manag Pract. 24\(2\):102-111](#), March/April 2018). Dissemination methods may include, but are not limited to, presentations at workshops and seminars, one-on-one meetings, publications, news media, social media, etc.

While passive dissemination methods are common (eg, publications, presentations at professional meetings), plans should include some active dissemination methods (eg, meetings with stakeholders, blogs, social media). Applicants should describe their dissemination plans. The plans should include the kinds of audiences to be targeted and methods for reaching the targeted audiences.

Replication by others is an additional way to disseminate the project. For applicable components, describe how the project or components of the project lend themselves to application by other communities and/or organizations in the state or expansion in the same communities. Describe what components of this project can be adapted to a larger or lower resource setting. Note that some programs may have unique resources and may not lend themselves to replication by others.

#### **4.4.5 People Reached (Indirect Contact)**

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to [Appendix A](#) for definitions.

#### **4.4.6 Number of Services Delivered (Direct Contact)**

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each individual service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the

education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

#### **4.4.7 Number of Clinical Services Delivered**

Provide the estimated overall number of clinical services directly delivered to members of the public by the funded project. Each individual clinical service should be counted, regardless of the number of services one person receives. Separately itemize the clinical services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

#### **4.4.8 Number of Unique People Served (Direct Contact)**

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to [Appendix A](#) for definitions.

#### **4.4.9 References**

Provide a concise and relevant list of references cited for the application. The successful applicant will provide referenced evidence and literature support for the proposed services.

#### **4.4.10 Resubmission Summary**

Use the template provided on the CARS (<https://CPRITGrants.org>). Describe the approach to the resubmission and how reviewers' comments were addressed. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed.

The summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission; the applicant is not responsible for providing this document.

#### **4.4.11 Most Recently Funded Project Summary (3 pages)**

Upload a summary that outlines the progress made with the most recently funded CPRIT award. Applicants must describe results and outcomes of the most recently funded award and demonstrate why further funding is warranted.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed expansion project.

In the description include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following information:
  - Milestones/target dates and target metrics
  - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key outcomes. If the project has not yet ended, provide projections for completion dates and final metrics. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.
- Describe steps taken toward sustainability for components of the project. Fully describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

#### **4.4.12 CPRIT Grants Summary**

Use the template provided on the CARS (<https://CPRITGrants.org>). Provide a listing of **all** projects funded by the CPRIT Prevention program for the PD and the Co-PD, regardless of their connection to this application.

#### **4.4.13 Budget and Justification**

Provide a brief outline and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, travel, equipment, supplies, contractual expenses, services delivery, and other expenses. CPRIT funds will be distributed on a reimbursement basis.

Applications requesting more than the maximum allowed cost (total costs) as specified in [section 2.9](#) will be administratively withdrawn.

- **Average Cost per Service:** The average cost per service will be automatically calculated from the total cost of the project divided by the total number of services delivered (refer to [Appendix A](#)). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **Average Cost per Person:** The average cost per person will be automatically calculated from the total cost of the project divided by the total number of unique people served (refer to [Appendix A](#)).
- **Average Cost per Clinical Service:** The average cost per clinical service will be automatically calculated from the total cost of the project divided by the total number of clinical services delivered (refer to [Appendix A](#)).
- **Personnel:** The individual salary cap for CPRIT awards is \$200,000 per year. Describe the source of funding for all project personnel where CPRIT funds are not requested.
- **Travel:** PDs and related project staff are expected to attend CPRIT's conference. CPRIT funds may be used to send up to 2 people to the conference.
- **Equipment:** Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application. Justification must be provided for why funding for this equipment cannot be found elsewhere; CPRIT funding should not supplant existing funds. Cost sharing of equipment purchases is strongly encouraged.
- **Services Costs:**
  - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested. If clinical services are being paid for and provided by others, the applicant is required to explain and report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program.
  - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF. In several cases (eg, breast self-exams, clinical breast exams, PSA tests), the Task Force has concluded there is not enough evidence available to draw reliable conclusions about the additional benefits and harms of these tests. (See <https://www.uspreventiveservicestaskforce.org/>)

- **Other Expenses:**
  - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is \$25.
  - **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).
- **Indirect/Shared Costs:** Texas law limits the amount of grant funds that may be spent on indirect/shared expenses to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in [CPRIT's Administrative Rules](#).

#### 4.4.14 Current and Pending Support and Sources of Funding

Use the template provided on the CARS (<https://CPRITGrants.org>). Describe the funding source and duration of **all** current and pending support for the proposed project, including a capitalization table that reflects private investors, if any.

#### 4.4.15 Biographical Sketches

The designated PD will be responsible for the overall performance of the funded project and must have relevant education and management experience. The PD/Co-PD(s) must provide a biographical sketch that describes his or her education and training, professional experience, awards and honors, and publications and/or involvement in programs relevant to cancer prevention and/or service delivery.

- Use the Co-PD Biographical Sketch section **ONLY** if a Co-PD has been identified.
- The evaluation professional must provide a biographical sketch in the Evaluation Professional Biographical sketch section.
- Up to 3 additional biographical sketches for key personnel may be provided in the Key Personnel Biographical Sketch section.

Each biographical sketch must not exceed 2 pages and should use either the “Prevention Programs: Biographical Sketch” template provided on the CARS (<https://CPRITGrants.org>) or the NIH Biographical Sketch format. Only biographical sketches will be accepted; do not submit resumes and/or CVs. If a position is not yet filled, please upload a job description.

#### **4.4.16 Collaborating Organizations**

List all key participating organizations that will partner with the applicant organization to provide 1 or more components essential to the success of the program (eg, evaluation, clinical services, recruitment to screening). Please be sure to also include anyone listed as key personnel and/or listed under the Current & Pending Support section.

#### **4.4.17 Letters of Commitment (10 pages)**

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

## **5. APPLICATION REVIEW**

### **5.1 Review Process Overview**

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding based on comparisons with applications from all of the review panels and programmatic priorities.

Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the

Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

Each stage of application review is conducted confidentially, and all CPRIT Peer Review Panel members, Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Peer Review Panel members and Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight Committee member, a PIC member, a Review Panel member, or a Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent

violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

## **5.2 Review Criteria**

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

### **5.2.1 Primary Evaluation Criteria**

#### **Impact**

- Do the proposed services address an important problem or need in cancer prevention and control? Do the proposed project strategies support desired outcomes in cancer incidence, morbidity, and/or mortality? Do the proposed project strategies reach a priority population (eg, low income, minority, rural) at high risk of cancer?
- For the proposed expansion, does the project build on its initial results (baseline)? Does it go beyond the initial project to address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Will the project reach and serve/impact an appropriate number of people based on the budget allocated to providing services and the cost of providing services?
- If applicable, have partners demonstrated that the collaborative effort will provide a greater impact on cancer prevention and control than the applicant organization's effort separately?
- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?

#### **Project Strategy and Feasibility**

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within

the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?

- Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

### **Outcomes Evaluation**

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- If clinical services are being paid for and provided by others, does the applicant explain the methods used to collect data and report on these clinical services and outcomes?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?
- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

### **Organizational Qualifications and Capabilities**

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services?

- Does the described role of each collaborating organization make it clear that each organization adds value to the project and is committed to working together to implement the project?
- Have the appropriate personnel been recruited to design, implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?
- Does the applicant describe their current activities and the program's organizational capacity for sustainability?
- Does the applicant describe steps that will be taken toward building internal capacity and partnerships?
- Does the applicant describe a plan for systems changes that are sustainable over time; eg, improve results, provider practice, efficiency, cost-effectiveness?

## **5.2.2 Secondary Evaluation Criteria**

### **Budget**

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

### **Dissemination and Replication**

- Are plans for dissemination of the project's results and outcomes, including target audiences and methods clearly described?
- Are active dissemination strategies included and described in the plan?
- Does the applicant describe whether and/or how the project lends itself to replication of all or some components of the project by others in the state?

## **6. AWARD ADMINISTRATION**

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has

approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in [CPRIT's Administrative Rules](#). Applicants are advised to review CPRIT's administrative rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [chapter 703, sections 703.10, 703.12](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, [chapter 703, section 703.20](#).

CPRIT requires the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract.

## 7. CONTACT INFORMATION

### 7.1 Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding the scope and focus of applications. Before contacting the helpdesk, please refer to the *Instructions for Applicants* document (posted on November 11, 2019), which provides a step-by-step guide to using CARS.

**Hours of operation:** Monday through Friday, 8 AM to 6 PM central time

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### 7.2 Program Questions

Questions regarding the CPRIT Prevention program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Prevention Program Office.

**Tel:** 512-305-8417

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)

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## 8. RESOURCES

- The Texas Cancer Registry. <https://www.dshs.texas.gov/tcr> or contact the Texas Cancer Registry at the Department of State Health Services.
- The Community Guide. <https://www.thecommunityguide.org/>
- Cancer Control P.L.A.N.E.T. <http://cancercontrolplanet.cancer.gov>
- Guide to Clinical Preventive Services: Recommendations of the U.S. Preventive Services Task Force. <http://www.ahrq.gov/professionals/clinicians-providers/guidelines-recommendations/guide/>
- Brownson, R.C., Colditz G.A., and Proctor, E.K. (Editors). *Dissemination and Implementation Research in Health: Translating Science to Practice*. Oxford University Press, March 2012
- Program Sustainability Assessment Tool, copyright 2012, Washington University, St Louis, MO, <https://www.sustaintool.org/about-us/>
- Getting the Word Out: New Approaches for Disseminating Public Health Science Ross C. Brownson, PhD; Amy A. Eyler, PhD; Jenine K. Harris, PhD; Justin B. Moore, PhD, MS; Rachel G. Tabak, PhD, RD, **Journal of Public Health Management & Practice**. 24(2):102-111, March/April 2018. [https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting\\_the\\_Word\\_Out\\_\\_New\\_Approaches\\_for.4.aspx](https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting_the_Word_Out__New_Approaches_for.4.aspx)
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## APPENDIX A: KEY TERMS

- **Activities:** A listing of the “who, what, when, where, and how” for each objective that will be accomplished.
- **Capacity Building:** Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee’s setting or community to continue the delivery of some or all components of the evidence-based intervention.
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation or clinical services. Examples include people traveling to receive services as a result of marketing and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities and delivery of clinical services through clinics, mobile vans, or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments. One individual may receive multiple education services.

- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT’s website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit <https://www.cprit.state.tx.us/our-programs/prevention>.
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project. ([Appendix B](#))
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee’s setting or community through policies and practice.
- **Navigation Services:** Number of unique activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes (Examples include patient reminders, transportation assistance, and appointment scheduling assistance). One individual may receive multiple navigation services.
- **Number of Clinical Services:** Number of [clinical services](#) delivered directly to members of the public by the funded project. One individual may receive multiple clinical services.
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. One individual may receive multiple services.
- **Objectives:** Specific, measurable, actionable, realistic, and timely projections for outcomes; example: “Increase screening service provision in X population from Y% to Z% by 20xx.” Baseline data for the priority population must be included as part of each objective. ([Appendix B](#)). The proposed metric should be included in **both** the objective and the measure (eg, Measure: 2,000 individuals, age 9-12, will initiate HPV vaccination during the grant period).
- **People Reached (Indirect Contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and

outreach activities, such as mass media efforts, brochure distribution, public service announcements, newsletters, and journals. (This category includes individuals who would be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project).

- **Unique People Served (Direct Contact):** Number of unique members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

## APPENDIX B: WRITING GOALS AND OBJECTIVES

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within **both** the stated objective and the measure (eg, Measure: 2,000 individuals, age 9-12, will initiate HPV vaccination during the grant period).

The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives.

**The following guide has been adapted with permission from Appalachia Community Cancer Network, NIH Grant U54 CA 153604:**

**Develop well-defined goals and objectives.**

**Goals** provide a roadmap or plan for where a group wants to go. Goals can be long term (over several years) or short term (over several months). Goals should be based on needs of the community and evidence-based data.

Goals should be:

- Believable – situations or conditions that the group believes can be achieved
- Attainable – possible within a designated time
- Tangible – capable of being understood or realized
- On a timetable – with a completion date
- Win-Win – beneficial to individual members and the coalition

**Objectives** are measurable steps toward achieving the goal. They are clear statements of specific activities required to achieve the goal. The best objectives have several characteristics in common – S.M.A.R.T. + C:

- Specific – they tell how much (number or percent), who (participants), what (action or activity), and by when (date)
  - Example: 115 uninsured individuals age 50 and older will complete colorectal cancer screening by March 31, 2018.
- Measurable – specific measures that can be collected, detected, or obtained to determine successful attainment of the objective.

- Example: How many screened at an event? How many completed pre/post assessment?
- Achievable – not only are the objectives themselves possible, it is likely that your organization will be able to accomplish them
- Relevant to the mission – your organization has a clear understanding of how these objectives fit in with the overall vision and mission of the group
- Timed – developing a timeline is important for when your task will be achieved
- Challenging – objectives should stretch the group to aim on significant improvements that are important to members of the community

### **Evaluate and refine your objectives**

Review your developed objectives and determine the type and level of each using the following information:

#### **There are 2 types of objectives:**

- Outcome objectives – measure the “what” of a program; should be in the Goals and Objectives form (see [section 4.4.2](#))
- Process objectives – measure the “how” of a program; should be in the project plan only (see [section 4.4.4](#))

#### **There are 3 levels of objectives:**

- Community-level – objectives measure the planned community change
- Program impact – objectives measure the impact the program will have on a specific group of people
- Individual – objectives measures participant changes resulting from a specific program, using these factors:
  - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
  - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable is important)
  - Skills – the ability to do something (complete fecal occult blood test)
  - Intentions – regarding plan for future behavior (will agree to talk to the doctor, will plan to schedule a Pap test)

- Behaviors (past or current) – to act in a particular way (will exercise 30+ minutes a day, will have a mammogram)

**Well-defined outcome goals and objectives can be used to track, measure, and report progress toward achievement.**

### Summary Table

	<b>Outcome – Use in Goals and Objectives</b>	<b>Process – Use in Project Plan only</b>
<b>Community-level</b>	<p>WHAT will change in a community</p> <p><i>Example: As a result of CPRIT funding, FIT (fecal immunochemical tests) will be available to 1,500 uninsured individuals age 50 and over through 10 participating local clinics and doctors.</i></p>	<p>HOW the community change will come about</p> <p><i>Example: Contracts will be signed with participating local providers to enable uninsured individuals over age 50 have access to free colorectal cancer screening in their communities.</i></p>
<b>Program impact</b>	<p>WHAT will change in the target group as a result of a particular program</p> <p><i>Example: As a result of this project, 200 uninsured women between 40 and 49 will receive free breast and cervical cancer screening.</i></p>	<p>HOW the program will be implemented to affect change in a group/population</p> <p><i>Example: 2,000 female clients, between 40 and 49, will receive a letter inviting them to participate in breast and cervical cancer screening.</i></p>
<b>Individual</b>	<p>WHAT an individual will learn as a result of a particular program, or WHAT change an individual will make as a result of a particular program</p> <p><i>Example: As a result of one-to-one education of 500 individuals, at least 20% of participants will participate in a smoking cessation program to quit smoking.</i></p>	<p>HOW the program will be implemented to affect change in an individual's knowledge or actions</p> <p><i>Example: As a result of one-to-one counseling, all participants will identify at least 1 smoking cessation service and 1 smoking cessation aid.</i></p>

# Third Party Observer Reports

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## **Cancer Prevention and Research Institute of Texas (CPRIT)**

### **20.2 Prevention Panel - 1 Meeting (20.2 PRV PP-1)**

#### **Observation Report**

Report No. 2020-05-12 20.2\_PRV\_PP-1  
Program Name: Prevention  
Panel Name: 20.2 Prevention Panel - 1 (20.2\_PRV\_PP-1)  
Panel Date: 05-12-2020  
Report Date: 05-21-2020

#### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

#### ***INTRODUCTION***

The subject of this report is the 20.2 Prevention Panel - 1 (20.2\_PRV\_PP-1) meeting. The meeting was chaired by Nancy Lee and conducted via teleconference on May 12, 2020.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

Three (3) BFS independent observer(s) participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Twelve (12) applications were discussed and six (6) were not discussed
- Panelists: One (1) panel chair, nine (9) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Seven (7)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: Two (2)
- CPRIT Oversight Committee Members did not actively participate in the meeting.

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. Our observations are based on the information available.

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)** **20.2 Prevention Review Council Programmatic Review Panel** **(20.2 PRV PRC) Observation Report**

Report No. 2020-06-15 20.2\_PRV\_PRC  
Program Name: Prevention  
Panel Name: 20.2 Prevention Review Council Programmatic Review Panel  
(20.2\_PRV\_PRC)  
Panel Date: 06-15-2020  
Report Date: 06-17-2020

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the 20.2 Prevention Review Council Programmatic Review Panel (20.2\_PRV\_PRC) meeting. The meeting was chaired by Stephan Wyatt and conducted via teleconference on June 15, 2020.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) applications were discussed
- Panelists: One (1) panel chair and two (2) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) Conflicts of Interest (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. Our observations are based on the information available.

BFS's third-party observation services did not include an evaluation of the appropriateness or rigor of the review panel's discussions of scientific, technical, or programmatic aspects of the applications. We were not engaged to perform an audit, the objective of which would be the expression of an opinion on the accuracy of voting and scoring. Accordingly, we will not express such an opinion. Had we performed additional procedures; other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of CPRIT, its management and its Oversight Committee members. This report is not intended to be and should not be used by anyone other than these specified parties.

With best regards,

A handwritten signature in blue ink, appearing to be 'Mara Ash', written over the text 'With best regards,'.

Mara Ash, CIA, CGAP, CGFM, CMRA  
Senior Partner  
Business & Financial Management Solutions, LLC

cc: Vince Burgess, Chief Compliance Officer  
Cameron Eckel, Attorney

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Prevention Cycle 20.2 Applications

#### Prevention Cycle 20.2 Applications Announced at the August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Prevention Cycle 20.2 include *Evidence-Based Cancer Prevention Services*; *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations*; and *Tobacco Control and Lung Cancer Screening*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PD	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
No conflicts reported.			
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

# **T.A.C. Section 702.19 Waiver**

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**SUBJECT:** T.A.C. § 702.19 WAIVER  
**DATE:** FEBRUARY 25, 2020

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**Summary**

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Ramona Magid, CPRIT's Chief Prevention Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is currently and retroactively applicable to the second prevention review cycle of FY 2020, which is scheduled for review beginning in March. No Oversight Committee action related to this waiver is necessary.

**Background and Discussion**

As the Oversight Committee is aware, I promoted Ms. Magid to the Chief Prevention Officer position on June 1, 2019, following Dr. Becky Garcia's retirement. The Chief Prevention Officer is a statutorily mandated member of the Program Integration Committee (PIC). Texas Administrative Code § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

Traditionally, a chief program officer leads each CPRIT program with the assistance of a program manager. The program manager fields inquiries from and provides technical help to applicants completing their CPRIT grant applications. However, the prevention program manager position is vacant currently with Ms. Magid's promotion. Until CPRIT fills the program manager position, Ms. Magid is the sole point of contact for the prevention program. The communication waiver is necessary so that she can help grant applicants who have questions during the application process.

I granted Ms. Magid a waiver applicable to the first cycle of FY2020 for the same purposes. At the time, I granted the waiver specifically for the first cycle because we hoped that the prevention program manager position would be filled by the time the second cycle of FY2020 opened; however, that was not the case. The application receipt period for the prevention program's second cycle was November 11, 2019 through February 12, 2020. While this waiver is dated after the receipt period, in practice, Ms. Magid continued to operate under the T.A.C.

§ 702.19 waiver that was granted in June 2019 by answering non-substantive questions from applicants. Her communication did not result in any application receiving a benefit over another. She refrained from speaking about the substance of a pending grant application with any grant applicant to the second cycle.

It is possible that I will grant Ms. Magid a standing T.A.C. § 702.19 waiver until the prevention program manager position is filled. The next application cycle, which is the first cycle in FY2021, will open in June with an application submission deadline in September. If in June Ms. Magid continues to be the solitary point of contact in the prevention program, I will grant her a standing communication waiver until staff is added. If a standing waiver is granted, I will notify the Oversight Committee with a written memorandum.

Approving this waiver does not favor any grant applicant over another. Ms. Magid will provide technical assistance only and will not comment on the substance of a grant application.

This waiver will be part of the grant record for the cycle 20.2 prevention grant applications.

# **De-Identified Overall Evaluation Scores**

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# Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

Prevention Cycle 20.2

Application ID	Final Overall Evaluation Score
PP200048*	2.0
PP200066*	2.0
PP200064*	2.1
PP200075*	2.1
PP200057*	2.2
PP200070*	3.1
PP200068*	3.4
ca	4.3

\* Recommended for CPRIT award

20.2 Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations

# **Final Overall Evaluation Scores and Rank Order Scores**

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Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)  
Via email to Dee Margo assistant, Olivia Zepeda, [zepedaox@elpasotexas.gov](mailto:zepedaox@elpasotexas.gov)

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. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.2 Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS) and and Tobacco Control and Lung Cancer Screening (TCL) awards.

The PRC met on June 15, 2020 to consider the applications recommended by the peer review panel following their May 12 meeting.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC made changes to the goals, project objectives, or timelines on two applications.

The remaining funding available for fiscal year 2020 is \$14,527,312. These recommended projects total \$14,063,633.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,  
Stephen W. Wyatt, DMD, MPH  
Chair, CPRIT Prevention Review Council

Attachment

App ID	Mechanism	Type	Title	PD	Organization	Total Requested Budget	Average Score	Rank Order
PP200048	EPS	New	Expanding a successful postpartum HPV vaccination project to women in the Rio Grande Valley	Berenson, Abbey	The University of Texas Medical Branch at Galveston	\$ 1,999,991	2.0	1
PP200066	EPS	New	Expanding Mailed Stool Test-Based Colorectal Cancer Screening in Vulnerable Populations in Central Texas	Pignone, Michael	The University of Texas at Austin	\$ 1,999,227	2.0	2
PP200064	EPS	New	A Regional Expansion of Cervical Cancer Screening and Patient Navigation in North Texas (E-XSPAN)	Argenbright, Keith	The University of Texas Southwestern Medical Center	\$ 1,999,996	2.1	3
PP200075	EPS	Resubmission	Establish a Comprehensive Cancer Prevention and Support Program among Asian-American Communities in Houston, Dallas/Fort Worth and Austin Areas of Texas	Sun, Helen	Light and Salt Association	\$ 1,467,728	2.1	4
PP200057	EPS	New	School-based Human Papillomavirus Vaccination Program in the Rio Grande Valley: Continuation and Expansion in Starr, Zapata, and Jim Hogg County	Rodriguez, Ana	The University of Texas Medical Branch at Galveston	\$ 1,993,140	2.2	5
PP200071	TCL	Resubmission	Promoting access to maternal smoking cessation and smoke-free home services among low-income rural pregnant women and their household smokers	Chen, Lei-Shih	A&M University	\$ 1,000,000	2.6	6
PP200070	EPS	New	EXPANSION OF TEXAS A&M'S CANCER PREVENTION PROGRAM TORURAL AND MEDICALLY UNDERSERVED	Lichorad, Anna	Texas A &M University System Health Science Center	\$ 1,656,478	3.1	7
PP200068	EPS	Resubmission	Expanding Colorectal Cancer Prevention and Education Through Community-Based Outreach and Information Technology	Rustveld, Luis	Baylor College of Medicine	\$ 1,947,073	3.4	8



CANCER PREVENTION & RESEARCH  
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# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 2**  
*Tobacco Control and Lung Cancer Screening*

# Request for Applications

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**REQUEST FOR APPLICATIONS**  
**RFA P-20.2-TCL**

**Tobacco Control and Lung Cancer Screening**

**Please also refer to the Instructions for Applicants document,  
which will be posted on November 11, 2019**

**Application Receipt Opening Date:** November 11, 2019

**Application Receipt Closing Date:** February 12, 2020

**FY 2020**

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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## **RFA VERSION HISTORY**

Rev 10/15/2019 RFA release

## **1. ABOUT CPRIT**

The State of Texas has established the Cancer Prevention and Research Institute of Texas (CPRIT), which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and enhance the potential for a medical or scientific breakthrough in the prevention of or cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Develop and implement the Texas Cancer Plan.

### **1.1. Prevention Program Priorities**

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee directs the orientation of the agency's funding portfolio. The Prevention Program's principles and priorities will also guide CPRIT staff and the Prevention Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

#### **Established Principles:**

- Fund evidence-based interventions and their dissemination
- Support the prevention continuum of primary, secondary, and tertiary (includes survivorship) prevention interventions

#### **Prevention Program Priorities**

- Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence
- Prioritize underserved populations

## 2. FUNDING OPPORTUNITY DESCRIPTION

### 2.1. Summary

The ultimate goals of the CPRIT Prevention Program are to reduce overall cancer incidence and mortality and to improve the lives of individuals who have survived or are living with cancer.

The ability to reduce cancer death rates depends in part on the application of currently available evidence-based technologies and strategies.

People who use tobacco products or who are regularly around [environmental tobacco smoke](#) have an increased risk of cancer because tobacco products and secondhand smoke contain many chemicals that damage DNA. Tobacco use causes many types of cancer, and there is no safe level of tobacco use. People who quit smoking, regardless of their age, have substantial gains in life expectancy compared with those who continue to smoke. Also, quitting smoking at the time of a cancer diagnosis reduces the risk of death.<sup>1</sup>

Tobacco use accounts for at least 30% of all cancer deaths, causing 83% of lung cancer deaths in men and 76% of lung cancer deaths in women.<sup>2</sup> Lung cancer is the leading cause of cancer-related mortality in Texas; in 2016 there were an estimated 9,438 deaths.<sup>3</sup>

The **Tobacco Control and Lung Cancer Screening (TCL)** award mechanism seeks to fund programs on tobacco prevention and cessation, as well as screening for early detection of lung cancer. Through release of this RFA, CPRIT's goal is to stimulate more programs across the state, thereby providing greater access for underserved populations and reducing the incidence and mortality rates of tobacco-related cancers.

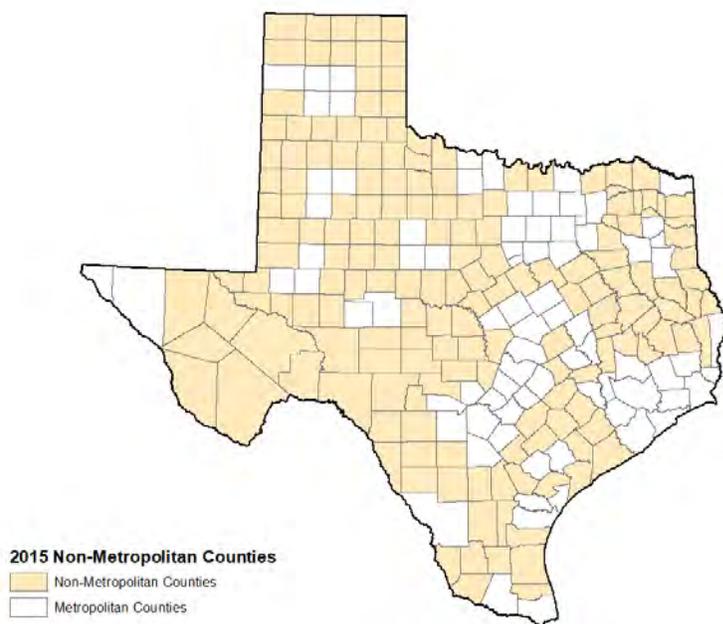
This RFA seeks to promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth. In addition to evidence-based interventions for tobacco prevention and cessation, screening to detect cancer early, before it has spread, can reduce lung cancer mortality. For the early detection of lung cancer, the US Preventive Services Task Force (USPSTF) recommends annual lung cancer screening with low-dose computerized tomography (LDCT) for persons between the ages of 55 and 80 years old who have a history of heavy smoking (30 pack years or more) and who currently smoke or have quit within the past 15 years. The Centers for Medicare and Medicaid Services (CMS) has approved coverage and reimbursement for lung cancer screening for

individuals 55 to 77 years of age that meet their criteria. CMS also has eligibility criteria for radiologists and facilities delivering the screening services (<https://www.cms.gov/medicare-coverage-database/details/nca-decision-memo.aspx?NCAId=274>).

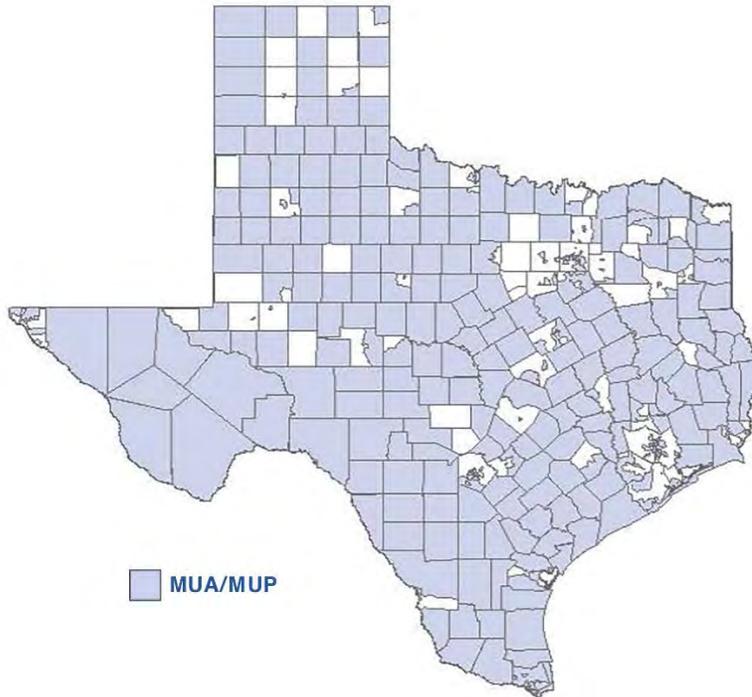
CPRIT will support programs screening individuals aged 55 to 77 that follow the CMS criteria for screening, radiologists, and facilities. CMS also requires delivery of smoking cessation counseling if LCDT screening is offered; however, for funding through this mechanism, CPRIT requires that robust evidence-based cessation interventions that go beyond offering only a referral or provision of information about smoking cessation interventions be delivered (see [section 2.3](#) for details).

Programs proposed under this mechanism should be designed to reach and serve as many people as possible. Partnerships with other organizations that can support and leverage resources are strongly encouraged. A coordinated submission of a collaborative partnership program in which all partners have a substantial role in the proposed project is preferred.

**Applicants with currently or previously funded CPRIT Tobacco Control and Lung Cancer Screening projects are required to expand current services into additional counties or to include additional types of prevention clinical services.** In either case, the expansion must include the delivery of services to nonmetropolitan (rural) and/or medically underserved counties in the state. These may be identified via Web-based tools from the [Texas Department of State Health Services](#) and [US Department of Health and Human Services](#) respectively.



## Texas Medically Underserved Areas (MUA) and Populations (MUP)



Data source: US Health Resources and Services Administration Data Warehouse, October 2017

Currently funded projects must be in their final year, and programs must have at least 1 full year of data to report before applying for an expansion.

### 2.2. Project Objectives

CPRIT seeks to fund **new** projects that will address objectives listed under Option A **or** Option B.

**Expansion** projects may address objectives under both Options A **and** B.

#### A. Tobacco Prevention and Cessation for any age group

- Promote and deliver evidence-based programming designed to significantly increase tobacco cessation among adults and/or prevent tobacco use by youth including combustible cigarettes, oral tobacco products, and/or electronic devices that deliver nicotine.

- Increase the adoption and sustained implementation of evidence-based strategies by state and local public health agencies designed to reduce tobacco use.
- Increase the adoption and implementation of evidence-based strategies designed to mobilize communities, improve systems and programs to influence societal norms, and encourage and support individuals in adoption of tobacco prevention and cessation behaviors.
- Increase the adoption and sustained implementation of evidence-based strategies by clinicians designed to reduce tobacco use.
- Stimulate the creation, adoption, and implementation of evidence-based strategies and policies designed to significantly improve the effectiveness of health care or other systems in reducing tobacco use among the patients and employees of those systems.
- Implement policy changes and/or system improvements that are sustainable over time.
- Focus on underinsured and uninsured population groups by implementation of strategies and activities that may significantly reduce tobacco use and cancer-related disparities.

**B. Lung Cancer Screening, Early Detection, and Cessation for individuals 55 to 77 years of age**

- Develop, implement, and evaluate strategies to significantly increase use of annual LDCT screening for earlier detection of lung cancer following the USPSTF criteria and definition of high-risk populations (history of 30 pack years of smoking, individuals between 55 and 77 years of age who currently smoke or who have quit smoking within the past 15 years), as well as meet CMS eligibility criteria for radiologists and facilities.
- Deliver evidence-based programming designed to significantly increase tobacco cessation among adults 55 to 77 years old that are being screened or considered for screening.
- Deliver education for health care providers that includes, but is not limited to, earlier detection of lung cancer, diagnosis and treatment of lung cancer, shared decision-making about eligibility, risks and benefits of lung LDCT screening, tobacco cessation programming, and comprehensive behavioral health change initiatives.

- Increase shared decision-making between the health care provider and patients about eligibility, risks, and benefits of annual lung LDCT screening.
- Stimulate the creation, adoption, and implementation of evidence-based strategies and policies designed to significantly improve the effectiveness of health systems in reducing tobacco use among the patients being screened or considered for screening.
- Implement policy changes and/or system improvements that are sustainable over time.
- Focus on underinsured and uninsured population groups by implementation of strategies and activities that may significantly reduce tobacco use and cancer-related disparities.

### 2.3. Award Description

The Tobacco Control and Lung Cancer Screening RFA solicits applications for eligible projects that may be up to 36 months in duration that will deliver evidence-based interventions focused on tobacco prevention (prevent tobacco use or sustained abstinence) and tobacco cessation among youth and/or adults. This RFA will also support LDCT screening for populations eligible for this intervention as defined by CMS if paired with evidence-based cessation interventions for the population to be screened.

As detailed below, **new** projects may propose comprehensive tobacco cessation programs for youth and/or adults, **(Option A)**, **or** projects may propose programs that include comprehensive tobacco cessation programs plus LDCT lung cancer screening and annual rescreening for eligible participants aged 55 to 77, **(Option B)**, **but not both**.

**Expansion projects:** Expansion to nonmetropolitan/medically underserved area (MUA) counties and/or offering additional clinical services is required for currently or previously funded tobacco control and lung cancer screening projects. To qualify, CPRIT requires these applicants to either expand to additional nonmetropolitan and/or MUA counties or to add the delivery of 1 or more of the following clinical services to their project.

- LDCT lung cancer screening: Expansion of project to include Option B for annual lung cancer screening if current or previously funded project included only Option A.

- Tobacco Prevention and Cessation: Expansion of project to include Option A for tobacco prevention and cessation program for any age group, in addition to the required cessation services in Option B, if current or previously funded project included only Option B.
- Screenings and rescreenings for breast, cervical, colorectal cancers, hepatitis C virus, and genetic risk factors.
- Vaccinations against HPV and hepatitis B virus.

CPRIT's priorities include a focus on underserved populations and the targeting of areas and populations where significant disparities exist. Projects should propose to develop, adopt, and implement strategies and activities that have the potential to significantly reduce tobacco use and cancer-related disparities and serve underinsured and uninsured population groups. If addressing worksites, projects should focus on worksites that are likely to have limited or no health insurance; eg, part-time or hourly workers. (See priority populations, [section 2.4](#)).

Proposals are encouraged to incorporate evidence-based interventions such as those found in Community Guide to Reducing Tobacco Use and Secondhand Smoke Exposure; CDC Policies and Practices for Cancer Prevention: Lung Cancer Screening Programs; CDC Best Practices for Comprehensive Tobacco Control Programs; and American College of Chest Physicians/American Thoracic Society Policy statement on Components Necessary for High- Quality Lung Cancer Screening. In addition, USPSTF guidelines and CMS criteria must be met if providing LDCT screening.

The following are required components of the project:

### **Option A. Tobacco Prevention and Cessation Services**

Projects under this option for tobacco prevention and cessation services without LDCT screening must provide the following:

- Evidence-based tobacco prevention and tobacco cessation education and services for adults and/or youth that include behavioral as well as pharmacotherapy interventions (if such interventions are indicated for youth). Effective cessation interventions include individual, group, and telephone counseling as well as FDA-approved cessation medications. Programs may include prevention and cessation of any product that delivers nicotine, including combustible cigarettes, oral tobacco products, and/or electronic devices.

In addition, projects should include SOME combination of the following:

- Evidence-based strategies delivered by public health officials (eg, state or local public health agencies) designed to reduce tobacco use and increase the adoption and sustained implementation of tobacco control programs.
- Evidence-based strategies designed to mobilize communities, improve systems and programs to influence societal norms, and encourage and support individuals in adoption of prevention and cessation behaviors (eg, NCI RTIPS interventions).
- Evidence-based strategies designed to improve the knowledge, skills, and effectiveness of health care providers in providing direct tobacco cessation interventions (eg, 5 A's approach).
- Evidence-based strategies designed to improve the efficacy/effectiveness of health systems in tobacco cessation, including changes in how health systems approach tobacco cessation (eg, integration into EMRs, clinical workflows, well visit protocols).

### **Option B. Lung Cancer screening and early detection services plus cessation services**

Projects under this option that includes lung cancer LDCT screening and relevant diagnostic interventions in addition to robust evidence-based tobacco cessation interventions must include **ALL** of the following:

- Annual LDCT lung cancer screening must be provided according to CMS and USPSTF guidelines.
- LDCT lung cancer screening facilities and radiologists must meet CMS requirements.
- Education for health care providers that includes, but is not limited to, earlier detection of lung cancer, diagnosis and treatment of lung cancer, tobacco cessation programming, and more comprehensive behavioral health change initiatives.
- Strategic educational initiatives for both the health care provider and patients focused on patient-centered health care that involves shared decision-making about eligibility, risks and benefits, and implementation of lung LDCT.
- The development, adoption, and implementation of robust evidence-based tobacco cessation interventions for individuals 55 to 77 years of age before screening as well as after LDCT screening. In cases where screening results are normal, cessation interventions

begun before the results of screening are received may increase the motivation to continue with cessation treatments.

- Cessation interventions must be comprehensive and robust and integrated with the screening program. Cessation interventions must involve more than handing out educational materials or referral to either the Quitline or other cessation resources and include behavioral as well as pharmacotherapy interventions. Cessation services offered outside the clinic setting require a formal agreement/memorandum of understanding for patient follow-up and confirmation of behavioral changes for the patients referred. Patient cessation outcomes are to be reported to CPRIT.
- The development, adoption, and implementation of enhancements and improvements in health and health care systems and/or policy that can increase the effectiveness of tobacco and cancer control (ie, integration into EMRs, clinical workflow, and well visit protocols).
- The development, adoption, and implementation of procedures and protocols for frequent follow-up of patients to assess not only participation but also successful outcomes regarding accessing cessation services, sustained abstinence, and outcomes known to be related to sustained cessation.
- The development, adoption, and implementation of system policies and protocols that include but are not limited to who should be offered screening within the USPSTF guidelines, frequency of screening, who should be followed, and who should proceed to surgical resection.
- Recognizing that there are false positives and false negatives in LDCT screening, the development, adoption, and implementation of evidence-based protocols for abnormal LDCT results.
- Patient navigation into treatment when cancer is diagnosed. Applicants must describe the resources available for treatment of uninsured/underinsured patients.

CPRIT's services grants are intended to fund prevention interventions that have a demonstrated evidence base and are culturally appropriate for the priority population.

CPRIT recognizes that evidence-based services have been developed but not implemented or tested in all populations or service settings. In such cases, other forms of evidence (eg, preliminary evaluation or pilot project data) that the proposed service is appropriate for the

population and has a high likelihood of success must be provided. The applicant must fully describe the base of evidence and any plans to adapt and evaluate the implementation of the program for the specific audience or situation.

CPRIT encourages traditional and nontraditional collaborative partnerships as well as leveraging of existing resources and dollars from other sources. A collaborative partnership is one in which all partners have a substantial role in the proposed project. Letters of commitment describing their role in the partnership are required from all partners.

CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area) in the provision of evidence-based services, changes in provider practice, systems changes, and cost-effectiveness. Applicants must demonstrate how these outcomes will ultimately impact incidence, mortality, morbidity, or quality of life.

Under this RFA, CPRIT **will not** consider the following:

- **Projects focusing solely on case management/patient navigation services.** Case management/patient navigation services must be paired with tobacco prevention or cessation services. Furthermore, while navigation to the point of treatment of cancer is required when cancer is discovered through a CPRIT-funded project, applications seeking funds to provide coordination of care while an individual is in treatment are not allowed under this RFA.
- **Projects focusing on tobacco prevention and cessation education without the delivery of cessation or other clinical services.**
- **Projects requesting CPRIT funding for Quitline services.** Applicants proposing the utilization of Quitline services should communicate with the Tobacco Prevention and Control program prior to submitting a CPRIT grant application to discuss the services currently offered by the Texas Department of State Health Services (DSHS).
- **Projects involving prevention/intervention research.** Applicants interested in prevention research should review CPRIT's Academic Research RFAs (available at <http://www.cprit.texas.gov>).<sup>4</sup>

## 2.4. Priorities

**Types of Cancer:** Only projects proposing tobacco control interventions and lung cancer screening will be considered for funding. See [section 2.5](#) for specific areas of emphasis.

**The Prevention Program’s priorities for funding include the following:**

**1) Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence:**

CPRIT programs must address underserved populations. Underserved populations are subgroups that are disproportionately affected by cancer. CPRIT-funded efforts must address 1 or more of these priority populations:

- Underinsured and uninsured individuals
- Medically unserved or underserved populations
- Racial, ethnic, and cultural minority populations
- Populations with low screening rates, high incidence rates, and high mortality rates, focusing on individuals never before screened or who are significantly out of compliance with nationally recommended screening guidelines.

The age of the priority population and frequency of screening for provision of clinical services described in the application must comply with established and current national guidelines (eg, USPSTF, CMS, and American Cancer Society).

**2) Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence:**

While disparities and needs exist across the state, CPRIT will also prioritize applications proposing to serve geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence. In addition, projects addressing areas of emphasis (see [section 2.5](#)) will receive priority consideration.

**Geographic and Population Balance in Current CPRIT portfolio**

At the programmatic level of review conducted by the Prevention Review Council (see [section 5.1](#)), priority will be given to projects that target geographic regions of the state and population subgroups that are not adequately covered by the current CPRIT Prevention project portfolio (see

<https://www.cpr.it.state.tx.us/our-programs/prevention/portfolio-maps> and <https://www.cpr.it.state.tx.us/grants-funded?search=prevention>).

## 2.5. Specific Areas of Emphasis

CPRIT has identified the following areas of emphasis for this cycle of awards.

<b><u>Primary Prevention</u></b>
<b>Tobacco Prevention and Control</b>
<ul style="list-style-type: none"> <li>• Vulnerable and high-risk populations, including people with mental illness, history of substance abuse, youth, and pregnant women, that have higher tobacco usage rates than the general population.</li> <li>• Areas that have higher smoking rates per capita than other areas of the state. Public Health Regions (PHR) 4, 5, and 9 have significantly higher tobacco use among adults than in other regions of the state.</li> </ul>
<b><u>Secondary Prevention - Screening and Early Detection Services</u></b>
<b>Lung Cancer</b>
<ul style="list-style-type: none"> <li>• Decreasing disparities in incidence and mortality rates of lung cancer in racial/ethnic populations. Blacks have higher mortality rates than Hispanics and non-Hispanic whites.</li> <li>• Increasing screening/detection rates in PHR 2, 4, and 5, where the highest rates of cancer incidence and mortality are found.</li> </ul>

## 2.6. Outcome Metrics

Applicants are required to clearly describe their assessment and evaluation methodology. The applicant is required to describe final outcome measures for the project. Output measures that are associated with the final outcome measures should be identified in the project plan and will serve as a measure of program effectiveness. Planned policy or system changes/improvements should be identified and the plan for qualitative analysis described. **Baseline data for each measure proposed are required.** In addition, applicants should describe how funds from the CPRIT grant will improve outcomes over baseline. If the applicant is not providing baseline data for a measure, the applicant must provide a well-justified explanation and describe clear plans and method(s) of measurement to collect the data necessary to establish a baseline.

## Reporting Requirements

Funded projects are required to report quantitative output and outcome metrics (as appropriate for each project) through the submission of quarterly progress reports, annual reports, and a final report.

If clinical services are being paid for and provided by others, the applicant is required to report on the number of clinical services and patient outcomes (eg, cancers detected) that are delivered to the people navigated by the program.

- Quarterly progress report sections include, but are not limited to, the following:
  - Summary page, including narrative on project progress (required)
  - Services, other than clinical services, provided to the public/professionals
  - Actions taken by people/professionals as a result of education or training
  - Clinical services provided (county of residence of client is required)
  - Precursors and cancers detected
- Annual and final progress report sections include, but are not limited to, the following:
  - Key accomplishments, **including qualitative analysis of policy change and/or lasting systems change**
  - Progress toward goals and outcome objectives, including percentage increase over baseline in provision of age- and risk-appropriate education and navigation services to eligible individuals in a defined service area
  - Materials produced and publications
  - Economic impact of the project

### 2.7. Eligibility

- The applicant must be a Texas-based entity, such as a community-based organization, health institution, government organization, public or private company, college or university, or academic health institution.
- The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted.

- The designated Program Director (PD) will be responsible for the overall performance of the funded project. The PD must have relevant education and management experience and must reside in Texas during the project performance time.
- The evaluation of the project must be headed by a professional who has demonstrated expertise in the field and who resides in Texas during the time that the project is conducted.
- An applicant is not eligible to receive a CPRIT grant award if the applicant PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization or institution is related to a CPRIT Oversight Committee member.
- The applicant may submit more than 1 application, but each application must be for distinctly different services without overlap in the services provided. Applicants who do not meet this criterion will have all applications administratively withdrawn without peer review.
- If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.
- If the applicant or a partner is an existing Department of State Health Services (DSHS) contractor, CPRIT funds may not be used as a match, and the application must explain how this grant complements or leverages existing state and federal funds. DSHS contractors who also receive CPRIT funds must be in compliance with and fulfill all contractual obligations within CPRIT. CPRIT and DSHS reserve the right to discuss the contractual standing of any contractor receiving funds from both entities.
- Collaborations are permitted and encouraged, and collaborators may or may not reside in Texas. However, collaborators who do not reside in Texas are not eligible to receive CPRIT funds. Subcontracting and collaborating organizations may include public, not-for-profit, and for-profit entities. Such entities may be located outside of the State of Texas, but non-Texas-based organizations are not eligible to receive CPRIT funds.
- An applicant organization is eligible to receive a grant award only if the applicant certifies that the applicant organization, including the PD, any senior member or key personnel listed on the grant application, or any officer or director of the grant applicant's organization (or any person related to 1 or more of these individuals within the second

degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation created to benefit CPRIT.

- The applicant must report whether the applicant organization, the PD, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, (whether slated to receive salary or compensation under the grant award or not), are currently ineligible to receive federal grant funds because of scientific misconduct or fraud or have had a grant terminated for cause within 5 years prior to the submission date of the grant application.
- CPRIT grants will be awarded by contract to successful applicants. CPRIT grants are funded on a reimbursement-only basis. Certain contractual requirements are mandated by Texas law or by administrative rules. Although applicants need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should make themselves aware of these standards before submitting a grant application. Significant issues addressed by the CPRIT contract are listed in [section 6](#). All statutory provisions and relevant administrative rules can be found [on the CPRIT website](#).

## 2.8. Resubmission Policy

- **One resubmission** is permitted. An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the PD for a project or a change of title for a project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission.
- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received overall numerical scores of 5 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing**

**previous critiques is advisable; however, it does not guarantee the success of the resubmission.** All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

## **2.9. Expansion Policy**

- A grant recipient that has previously been awarded grant funding from CPRIT may submit an application under this mechanism to be considered for an expansion grant if expansion of current services into additional counties and/or additional types of prevention clinical services have been included. The eligibility criteria described in [section 2.7](#) also apply to expansion applications.
- Expansion grants are intended to fund expansion of currently or previously funded projects that have demonstrated exemplary success, as evidenced by progress reports and project evaluations, and desire to further enhance their impact on priority populations. Detailed descriptions of **results, barriers, outcomes, and impact of the currently or previously funded project are required** (see outline of Most Recently Funded Project Summary, [section 4.4.12](#)).
- Proposed expansion projects should NOT be new projects but should closely follow the intent and core elements of the currently or previously funded project. Established infrastructure/processes and fully described prior project results are required. Expansion of current projects into geographic areas not well served by the CPRIT Prevention portfolio (see maps at <http://www.cprit.state.tx.us/our-programs/prevention/portfolio-maps>) will receive priority consideration.
- CPRIT expects measurable outcomes of supported activities, such as a significant increase over baseline (for the proposed service area). It is expected that baselines will have already been established and that continued improvement over baseline is demonstrated in the current application. However, in the case of a proposed expansion where no baseline data exist for the priority population, the applicant must present clear plans and describe method(s) of measurement used to collect the data necessary to establish a baseline. Applicants must demonstrate how these outcomes will ultimately impact cancer incidence, mortality, morbidity, or quality of life.

- CPRIT also expects that applications for continuation **will not** require startup time, that applicants can demonstrate that they have overcome barriers encountered, and that applicants have identified **lasting systems changes** that improve results, efficiency, and sustainability. Leveraging of resources and plans for dissemination are expected and should be well described.

## **2.10. Funding Information**

Applicants may request any amount of funding up to a maximum of \$1 million in total funding for new projects or up to a maximum of \$2 million in total funding for expansion projects over a maximum of 36 months. Grant funds may be used to pay for clinical services, navigation services, salary and benefits, project supplies, equipment, costs for outreach and education of populations, and travel of project personnel to project site(s). Applicants offering screening services must ensure that there is access to treatment services for patients with precancer or cancers that are detected as a result of the program and must describe access to treatment services in their application.

Requests for funds to support construction, renovation, or any other infrastructure needs or requests to support lobbying will not be approved under this mechanism. Cost sharing for equipment purchases is encouraged. Grantees may request funds for travel for 2 project staff to attend CPRIT's conference.

While this mechanism will fund diagnostic workup of abnormal LDCT results, applicants are encouraged to find additional sources to support the costlier diagnostic tests that may be needed. Proposed programs should be designed to reach and serve as many people as possible, and costly diagnostic tests could limit the reach of the program. Review of the proposals includes budget considerations such as the average cost per service and whether the budget is appropriate and reasonable and a good investment of Texas public funds.

The budget should be proportional to the number of individuals receiving programs and services, and a significant proportion of funds is expected to be used for program delivery as opposed to program development. In addition, CPRIT seeks to fill gaps in funding rather than replace existing funding, supplant funds that would normally be expended by the applicant's organization, or make up for funding reductions from other sources.

State law limits the amount of award funding that may be spent on indirect costs to no more than 5% of the **total** award amount.

## **2.11. Opportunity for Applied Research**

Since lung cancer screening has only recently become an approved screening tool and may occur in a variety of settings, there remain many questions and opportunities for continued study to optimize the pairing of smoking cessation services with lung cancer screening and to improve the outcomes of lung cancer screening. CPRIT encourages successful applicants to consider how they might leverage a Prevention grant award and the population being screened to address these or other research questions and apply to CPRIT's [Academic Research Program](#).

Examples of potential research questions follow:

- What are the most effective components of outreach and education strategies designed to influence underserved populations to make good decisions about their health and participate in shared decision-making and lung cancer screening?
- What are the most formidable barriers influencing the initiation of tobacco cessation counseling and lung cancer screening among underserved population groups?
- What are the most effective components of evidence-based cessation interventions delivered in conjunction with LDCT screening?
- What are effective shared decision-making interventions for LDCT?
- What is the cost-effectiveness of LDCT alone and/or in conjunction with various evidence-based interventions for tobacco cessation?
- What are the most effective evidence-based protocols for diagnostic work up of lung nodules in community settings?
- Can risk models be developed to define subgroups that might disproportionately benefit or be harmed with LDCT screening?
- What is the role of biomarkers in LDCT screening?

### 3. KEY DATES

<b>RFA release</b>	October 15, 2019
<b>Online application opens</b>	November 11, 2019, 7 AM central time
<b>Application due</b>	February 12, 2020, 4 PM central time
<b>Application review</b>	March-July 2020
<b>Award notification</b>	August 2020
<b>Anticipated start date</b>	August 31, 2020

Applicants will be notified of peer review panel assignment prior to the peer review meeting dates.

### 4. APPLICATION SUBMISSION GUIDELINES

#### 4.1. *Instructions for Applicants* document

It is imperative that applicants read the accompanying instructions document for this RFA that will be available November 11, 2019 (<https://CPRITGrants.org>). Requirements may have changed from previous versions.

#### 4.2. **Online Application Receipt System**

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The PD must create a user account in the system to start and submit an application. The Co-PD, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (a person authorized to sign and submit the application for the organization) and the Grants Contract/Office of Sponsored Projects Official (an individual who will help manage the grant contract if an award is made) also must create a user account in CARS. Applications will be accepted beginning at 7 AM central time on November 11, 2019, and must be submitted by 4 PM central time on February 12, 2020. Detailed instructions for submitting an application are in the *Instructions for Applicants* document, posted on CARS.

**Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### 4.3. Submission Deadline Extension

The submission deadline may be extended for 1 or more grant applications upon a showing of good cause. All requests for extension of the submission deadline must be submitted via email to the CPRIT Helpdesk within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

### 4.4. Application Components

Applicants are advised to follow all instructions to ensure accurate and complete submission of all components of the application. Refer to the *Instructions for Applicants* document for details.

**Submissions that are missing 1 or more components or do not meet the eligibility requirements may be administratively withdrawn without review.**

#### 4.4.1. Abstract and Significance (5,000 characters)

Clearly explain the problem(s) to be addressed, the approach(es) to the solution, and how the application is responsive to this RFA. In the event that the project is funded, the abstract will be made public; therefore, no proprietary information should be included in this statement. Initial compliance decisions are based in part upon review of this statement.

**The abstract format is as follows (use headings as outlined below):**

- **Need:** Include a description of need in the specific service area. Include rates of incidence, mortality, and screening in the service area compared to overall Texas rates. Describe barriers, plans to overcome these barriers, and the priority population to be served.
- **Overall Project Strategy:** Describe the project and how it will address the identified need. Clearly explain what the project is and what it will specifically do, including the services to be provided and the process/system for delivery of services and outreach to the priority population.
- **Specific Goals:** State specifically the overall goals of the proposed project; include the estimated overall numbers of people (public and/or professionals) reached, unique people (public and/or professionals) served and the number of services.

- **Significance and Impact:** Explain how the proposed project, if successful, will have a major impact on cancer prevention and control for the population proposed to be served and for the State of Texas.

#### 4.4.2. Goals and Objectives (700 characters each)

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within both the stated objective **and** the measure (eg, Measure: 1,000 individuals will undergo LDCT and be referred for diagnostic testing as necessary). Refer to the *Instructions for Applicants* document for details.

The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives. See [Appendix B](#) for instructions on writing outcome goals and objectives.

A baseline and method(s) of measurement are required for each objective. Provide both raw numbers and percent changes for the baseline and target. If a baseline has not been defined, applicants are required to explain plans to establish baseline and describe method(s) of measurement.

#### 4.4.3. Project Timeline (2 pages)

Provide a project timeline for project activities that includes deliverables and dates. Use Years 1, 2, 3, and Months 1, 2, 3, etc, as applicable (eg, Year 1, Months 3-5) instead of specific months or years. Month 1 is the first full month of the grant award.

#### 4.4.4. Project Plan (12 pages, fewer pages permissible)

*The required project plan format follows. Applicants must use the headings outlined below.*

**Background:** Briefly present the rationale behind the proposed service, emphasizing the critical barriers to current service delivery that will be addressed. Identify the evidence-based service to be implemented for the priority population. Describe the race, ethnicity, age, and other defining characteristics of the population to be served.

If evidence-based strategies have not been implemented or tested for the specific population or service setting proposed, provide evidence that the proposed service is appropriate for the

population and has a high likelihood of success. Baseline data for the target population and target service area are required where applicable.

Reviewers will be aware of national and state statistics, and these should be used only to compare rates for the proposed service area. Describe the geographic region of the state that the project will serve; maps are encouraged.

**Goals and Objectives:** Process objectives should be included in the project plan. Outcome goals and objectives will be entered in separate fields in CARS. However, if desired, outcome goals and objectives may be fully repeated or briefly summarized here. See [Appendix B](#) for instructions on writing goals and objectives.

**Components of the Project:** Clearly describe the need, delivery method, and evidence base (provide references) for the services as well as anticipated results. Be explicit about the base of evidence and any necessary adaptations for the proposed project. Describe why this project is nonduplicative. If an organization has a current CPRIT grant that is the same or similar to the prevention intervention being proposed, the applicant must explain how the projects are nonduplicative or complementary.

It is important to distinguish between Texas counties where the project proposes to deliver services and counties of residence of population served (see [Appendix A](#) for definitions and *Instructions for Applicants*). Only counties with service delivery should be listed in the Geographic Area to be Served section of the application. Projecting counties of residence of population served is not required but may be described in the project plan.

Clearly demonstrate the ability to provide the proposed service and describe how results will be improved over baseline and the ability to reach the priority population. If applicable, describe the method(s) that will be used to recall for appropriate rescreening those individuals who have been screened through this project. If clinical services are being paid for and provided by others, the applicant must explain and report on the number of clinical services and patient outcomes that are delivered to the people navigated by the program. Applicants must also clearly describe plans to **ensure access to treatment services** should precancer or cancer be detected.

**Evaluation Strategy:** A strong commitment to evaluation of the project is required. Describe the plan for outcome and output measurements, including qualitative analysis of policy and system

changes. Describe data collection and management methods, data analyses, and anticipated results. Evaluation and reporting of results should be headed by a professional who has demonstrated expertise in the field. If needed, applicants may want to consider seeking expertise at Texas-based academic cancer centers, schools/programs of public health, or the like. Applicants should budget accordingly for the evaluation activity and should involve that professional during grant application preparation to ensure, among other things, that the evaluation plan is linked to the proposed goals and objectives.

**Organizational Qualifications and Capabilities:** Describe the organization and its track record and success in providing health programs and services. Describe the role and qualifications of the key collaborators/partners in the project. Include information on the organization's financial stability and viability. The applicant should demonstrate how the organizational environment will contribute to a successful project. If equipment or physical resources are required to carry out the project, the applicant should describe the availability of these resources and the organizational capacity to use equipment. To ensure access to preventive services and reporting of services outcomes, applicants should demonstrate that they have provider partnerships and agreements (via memoranda of understanding) or commitments (via letters of commitment) in place.

CPRIT acknowledges that full maintenance and sustainability of projects when CPRIT funding ends may not be feasible, especially in cases involving the delivery of clinical services. However, it is important to consider sustainability early in the life cycle of a project, particularly regarding organizational characteristics and processes that are modifiable.

Washington University in St Louis has developed a useful tool ([Program Sustainability Assessment Tool](#)) to assess program capacity for sustainability. The tool assesses several factors that contribute to program sustainability. These factors include environmental support, funding stability, partnerships, organizational capacity, program evaluation, program adaptation, communication, and strategic planning. Applicants are not required to use this tool; however, it provides practical guidance on factors that should be considered and should be included in the application to describe a program's organizational capacity for sustainability.

It is expected that steps toward building sustainability capacity for the program will be taken and plans for such be briefly described in the application. The applicant should assess and describe the factors that will contribute to the organization's capacity to facilitate sustainability.

**Dissemination and Replication:** Dissemination of project results and outcomes, including barriers encountered and successes achieved, is critical to building the evidence base for cancer prevention and control efforts in the state. Dissemination efforts should consider the message, source, audience, and channel (Brownson, R.C., et al. *J Pub Health Manag Pract.* 24(2):102-111, March/April 2018). Dissemination methods may include, but are not limited to, presentations at workshops and seminars, one-on-one meetings, publications, news media, social media, etc.

While passive dissemination methods are common (eg, publications, presentations at professional meetings), plans should include some active dissemination methods (eg, meetings with stakeholders, blogs, social media). Applicants should describe their dissemination plans. The plans should include the kinds of audiences to be targeted and methods for reaching the targeted audiences.

Replication by others is an additional way to disseminate the project. For applicable components, describe how the project or components of the project lend themselves to application by other communities and/or organizations in the state or expansion in the same communities. Describe what components of this project can be adapted to a larger or lower resource setting. Note that some programs may have unique resources and may not lend themselves to replication by others.

#### **4.4.5. People Reached (Indirect Contact)**

Provide the estimated overall number of people (members of the public and professionals) to be reached by the funded project. The applicant is required to itemize separately the types of indirect noninteractive education and outreach activities, with estimates, that led to the calculation of the overall estimates provided. Refer to [Appendix A](#) for definitions.

#### **4.4.6. Number of Services Delivered (Direct Contact)**

Provide the estimated overall number of services directly delivered to members of the public and to professionals by the funded project. Each individual service should be counted, regardless of the number of services one person receives. The applicant is required to itemize separately the education, navigation, and clinical activities/services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

#### **4.4.7. Number of Clinical Services Delivered**

Provide the estimated overall number of clinical services directly delivered to members of the public by the funded project. Each individual clinical service should be counted, regardless of the number of services one person receives. Separately itemize the clinical services, with estimates, that led to the calculation of the overall estimate provided. Refer to [Appendix A](#) for definitions.

#### **4.4.8. Number of Unique People Served (Direct Contact)**

Provide the estimated overall number of unique members of the public and professionals served by the funded project. One person may receive multiple services but should only be counted once here. Refer to [Appendix A](#) for definitions.

#### **4.4.9. References**

Provide a concise and relevant list of references cited for the application. The successful applicant will provide referenced evidence and literature support for the proposed services.

#### **4.4.10. Resubmission Summary**

Use the template provided on the CARS (<https://CPRITGrants.org>). Describe the approach to the resubmission and how reviewers' comments were addressed. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed.

The summary statement of the original application review, if previously prepared, will be automatically appended to the resubmission; the applicant is not responsible for providing this document.

#### **4.4.11. Expansion Application Documents**

If the project proposed is being submitted as an expansion project, the additional document described in [section 4.4.12](#) is required.

#### **4.4.12. Most Recently Funded Project Summary, if Applicable (3 pages)**

Upload a summary that outlines the progress made with the most recently funded CPRIT award. Applicants must describe results and outcomes of the most recently funded award and demonstrate why further funding is warranted.

Please note that a different set of reviewers from those assigned to the previously funded application may evaluate this application. Applicants should make it easy for reviewers to compare the most recently funded project with the proposed continuation/expansion project.

In the description, include the following:

- Describe the evidence-based intervention, its purpose, and how it was implemented in the priority population. Describe any adaptations made for the population served.
- List approved goals and objectives of the most recently funded grant.
- For each objective, provide the following:
  - Milestones/target dates and target metrics
  - Actual completion dates and metrics
- For the most recently funded project, describe major activities; significant results, including major findings, developments or conclusions (both positive and negative); and key outcomes. If the project has not yet ended, provide projections for completion dates and final metrics. Include a discussion of objectives not fully met. Explain any barriers encountered and strategies used to overcome these.
- Describe steps taken toward building internal capacity for sustainability of the project.
- Describe systems or policy improvements and enhancements.
- Describe how project results were disseminated or plans for future dissemination of results.

#### **4.4.13 CPRIT Grants Summary**

Use the template provided on CARS (<https://CPRITGrants.org>). Provide a listing of **all** projects funded by the CPRIT Prevention program for the PD or Co-PD, regardless of their connection to this application.

#### 4.4.14 Budget and Justification

Provide a brief outline and detailed justification of the budget for the entire proposed period of support, including salaries and benefits, travel, equipment, supplies, contractual expenses, services delivery, and other expenses. CPRIT funds will be distributed on a reimbursement basis.

Applications requesting more than the maximum allowed cost (total costs) as specified in [section 2.10](#) will be administratively withdrawn.

- **Average Cost per Person:** The average cost per person will be automatically calculated from the total cost of the project divided by the total number of unique people served (refer to [Appendix A](#)). A significant proportion of funds is expected to be used for program delivery as opposed to program development and organizational infrastructure.
- **Average Cost per Service:** The average cost per service will be automatically calculated from the total cost of the project divided by the total number of services delivered (refer to [Appendix A](#)).
- **Average Cost per Clinical Service:** The average cost per clinical service will be automatically calculated from the total cost of the project divided by the total number of clinical services delivered (refer to [Appendix A](#)).
- **Personnel:** The individual salary cap for CPRIT awards is \$200,000 per year. Describe the source of funding for all project personnel where CPRIT funds are not requested.
- **Travel:** PDs and related project staff are expected to attend CPRIT's conference. CPRIT funds may be used to send up to 2 people to the conference.
- **Equipment:** Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT. An applicant does not need to seek this approval prior to submitting the application. Justification must be provided for why funding for this equipment cannot be found elsewhere; CPRIT funding should not supplant existing funds. Cost sharing of equipment purchases is strongly encouraged.

- **Services Costs:**
  - CPRIT reimburses for services using Medicare reimbursement rates. Describe the source of funding for all services where CPRIT funds are not requested. If clinical services are being paid for and provided by others, the applicant is required to explain and report on the number of clinical services and patient outcomes (eg, screenings/diagnostics, vaccinations, cancer precursors, cancers detected) that are delivered to the people navigated by the program.
  - CPRIT does not allow recovery of costs related to tests that have not been recommended by the USPSTF. (See <https://www.uspreventiveservicestaskforce.org/>)
- **Other Expenses:**
  - **Incentives:** Use of incentives or positive rewards to change or elicit behavior is allowed; however, incentives may only be used based on strong evidence of their effectiveness for the purpose and in the priority population identified by the applicant. CPRIT will not fund cash incentives. The maximum dollar value allowed for an incentive per person, per activity or session, is \$25.
  - **Costs Not Related to Cancer Prevention and Control:** CPRIT does not allow recovery of any costs for services not related to cancer (eg, health physicals, HIV testing).
- **Indirect/Shared Costs:** Texas law limits the amount of grant funds that may be spent on indirect/shared expenses to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in [CPRIT's Administrative Rules](#).

#### 4.4.15 Current and Pending Support and Sources of Funding

Use the template provided on the CARS (<https://CPRITGrants.org>). Describe the funding source and duration of **all** current and pending support for the proposed project, including a capitalization table that reflects private investors, if any.

#### 4.4.16 Biographical Sketches

The designated PD will be responsible for the overall performance of the funded project and must have relevant education and management experience. The PD/Co-PD(s) must provide a

biographical sketch that describes his or her education and training, professional experience, awards and honors, and publications and/or involvement in programs relevant to cancer prevention and/or service delivery.

- Use the Co-PD Biographical Sketch section ONLY if a Co-PD has been identified.
- The evaluation professional must provide a biographical sketch in the Evaluation Professional Biographical Sketch section.
- Up to 3 additional biographical sketches for key personnel may be provided in the Key Personnel Biographical Sketch section.

Each biographical sketch must not exceed 2 pages and should use either the “Prevention Programs: Biographical Sketch” template provided on the CARS (<https://CPRITGrants.org>) or the NIH Biographical Sketch format. Only biographical sketches will be accepted; do not submit resumes and/or CVs. If a position is not yet filled, please upload a job description.

#### **4.4.17 Collaborating Organizations**

List all key participating organizations that will partner with the applicant organization to provide 1 or more components essential to the success of the program (eg, evaluation, clinical services, recruitment to screening). Please be sure to also include anyone listed as key personnel and/or listed under the Current & Pending Support section.

#### **4.4.18 Letters of Commitment (10 pages)**

Applicants should provide letters of commitment and/or memoranda of understanding from community organizations, key faculty, or any other component essential to the success of the program. Letters should be specific to the contribution of each organization.

## **5. APPLICATION REVIEW**

### **5.1 Review Process Overview**

All eligible applications will be reviewed using a 2-stage peer review process: (1) evaluation of applications by peer review panels and (2) prioritization of grant applications by the Prevention Review Council. In the first stage, applications will be evaluated by an independent review panel using the criteria listed below. In the second stage, applications judged to be meritorious by review panels will be evaluated by the Prevention Review Council and recommended for funding

based on comparisons with applications from all of the review panels and programmatic priorities. Programmatic considerations may include, but are not limited to, geographic distribution, cancer type, population served, and type of program or service. The scores are only 1 factor considered during programmatic review. At the programmatic level of review, priority will be given to proposed projects that target geographic regions of the state or population subgroups that are not well represented in the current CPRIT Prevention project portfolio.

Applications approved by Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding. The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote. The review process is described more fully in CPRIT's Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

Each stage of application review is conducted confidentially, and all CPRIT Peer Review Panel members, Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Peer Review Panel members and Review Council members are non-Texas residents.

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer Review Panel members are listed by panel on CPRIT's website. **By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed Conflict of Interest as set forth in CPRIT's Administrative Rules, [chapter 703, section 703.9](#).**

Communication regarding the substance of a pending application is prohibited between the grant applicant (or someone on the grant applicant's behalf) and the following individuals: an Oversight

Committee member, a PIC member, a Review Panel member, or a Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention and Communications Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. The prohibition on communication does not apply to the time period when preapplications or letters of interest are accepted. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant application from further consideration for a grant award.

## **5.2 Review Criteria**

Peer review of applications will be based on primary scored criteria and secondary unscored criteria, identified below. Review panels consisting of experts in the field and advocates will evaluate and score each primary criterion and subsequently assign an overall score that reflects an overall assessment of the application. The overall evaluation score will not be an average of the scores of individual criteria; rather, it will reflect the reviewers' overall impression of the application and responsiveness to the RFA priorities.

## **5.3 Primary Evaluation Criteria**

### **Impact**

- Do the proposed services address an important problem or need in cancer prevention and control? Do the proposed project strategies support desired outcomes in cancer incidence, morbidity, and/or mortality? Do the proposed project strategies reach a priority population (eg, low income, minority, rural) at high risk of cancer?
- For expansion projects, does the proposed project build on its initial results (baseline)? Does it go beyond the initial project to address what the applicant has learned or explore new partnerships, new audiences, or improvements to systems?
- Will the project reach and serve/impact an appropriate number of people based on the budget allocated to providing services and the cost of providing services?
- If applicable, have partners demonstrated that the collaborative effort will provide a greater impact on cancer prevention and control than the applicant organization's effort separately?

- Does the program address adaptation, if applicable, of the evidence-based intervention to the priority population? Is the base of evidence clearly explained and referenced?

### **Project Strategy and Feasibility**

- Does the proposed project provide services specified in the RFA?
- Are the overall program approach, strategy, and design clearly described and supported by established theory and practice? Are the proposed objectives and activities feasible within the duration of the award? Has the applicant convincingly demonstrated the short- and long-term impacts of the project?
- Has the applicant proposed policy changes and/or system improvements?
- Are possible barriers addressed and approaches for overcoming them proposed?
- Are the priority population and culturally appropriate methods to reach the priority population clearly described?
- If applicable, does the application demonstrate the availability of resources and expertise to provide case management, including followup for abnormal results and access to treatment?
- Does the program leverage partners and resources to maximize the reach of the services proposed? Does the program leverage and complement other state, federal, and nonprofit grants?

### **Outcomes Evaluation**

- Are specific goals and measurable objectives for each year of the project provided?
- Are the proposed outcome measures appropriate for the services provided, and are the expected changes clinically significant?
- If clinical services are being paid for and provided by others, does the applicant explain the methods used to collect data and report on these clinical services and outcomes?
- Does the application provide a clear and appropriate plan for data collection and management and data analyses?
- Are clear baseline data provided for the priority population, or are clear plans included to collect baseline data?

- If an evidence-based intervention is being adapted in a population where it has not been implemented or tested, are plans for evaluation of barriers, effectiveness, and fidelity to the model described?
- Is the qualitative analysis of planned policy or system changes described?

### **Organizational Qualifications and Capabilities**

- Do the organization and its collaborators/partners demonstrate the ability to provide the proposed preventive services?
- Does the described role of each collaborating organization make it clear that each organization adds value to the project and is committed to working together to implement the project?
- Have the appropriate personnel been recruited to design, implement, evaluate, and complete the project?
- Is the organization structurally and financially stable and viable?
- Does the applicant describe their current activities and the program's organizational capacity for sustainability?
- Does the applicant describe steps that will be taken toward building internal capacity and partnerships?
- Does the applicant describe a plan for systems changes that are sustainable over time (eg, improve results, provider practice, efficiency, cost-effectiveness)?

## **5.4 Secondary Evaluation Criteria**

### **Budget**

- Is the budget appropriate and reasonable for the scope and services of the proposed work?
- Is the cost per person served appropriate and reasonable?
- Is the proportion of the funds allocated for direct services reasonable?
- Is the project a good investment of Texas public funds?

### **Dissemination and Replication**

- Are plans for dissemination of the project's results and outcomes, including target audiences and methods, clearly described?

- Are active dissemination strategies included and described in the plan?
- Does the applicant describe whether and/or how the project lends itself to replication of all or some components of the project by others in the state?

## **6. AWARD ADMINISTRATION**

Texas law requires that CPRIT grant awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to institutions or organizations, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and intellectual property rights. These contract provisions are specified in [CPRIT's Administrative Rules](#). Applicants are advised to review CPRIT's administrative rules related to contractual requirements associated with CPRIT grant awards and limitations related to the use of CPRIT grant awards as set forth in [chapter 703, sections 703.10, 703.12](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, [chapter 703, section 703.20](#).

CPRIT requires the PD of the award to submit quarterly, annual, and final progress reports. These reports summarize the progress made toward project goals and address plans for the upcoming year and performance during the previous year(s). In addition, quarterly fiscal reporting and reporting on selected metrics will be required per the instructions to award recipients. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in the termination of the award contract.

## 7. CONTACT INFORMATION

### 7.1 Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding the scope and focus of applications. Before contacting the helpdesk, please refer to the *Instructions for Applicants* document (posted on November 11, 2019), which provides a step-by-step guide to using CARS.

**Hours of operation:** Monday through Friday, 8 AM to 6 PM central time

**Tel:** 866-941-7146

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### 7.2 Program Questions

Questions regarding the CPRIT Prevention Program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Prevention Program Office.

**Tel:** 512-305-8417

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)

## 8. RESOURCES

- The Texas Cancer Registry. <https://www.dshs.texas.gov/tcr> or contact the Texas Cancer Registry at the Department of State Health Services.
- The Community Guide. <https://www.thecommunityguide.org/>
- Cancer Control P.L.A.N.E.T. <http://cancercontrolplanet.cancer.gov>
- Guide to Clinical Preventive Services: Recommendations of the U.S. Preventive Services Task Force. <http://www.ahrq.gov/professionals/clinicians-providers/guidelines-recommendations/guide/>
- Brownson, R.C., Colditz G.A., and Proctor, E.K. (Editors). *Dissemination and Implementation Research in Health: Translating Science to Practice*. Oxford University Press, March 2012
- Program Sustainability Assessment Tool, copyright 2012, Washington University, St Louis, MO, <https://www.sustaintool.org/about-us/>
- [Getting the Word Out: New Approaches for Disseminating Public Health Science](#) Ross C. Brownson, PhD; Amy A. Eyler, PhD; Jenine K. Harris, PhD; Justin B. Moore, PhD, MS; Rachel G. Tabak, PhD, RD, **Journal of Public Health Management & Practice**. 24(2):102-111, March/April 2018. [https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting\\_the\\_Word\\_Out\\_\\_New\\_Approaches\\_for.4.aspx](https://journals.lww.com/jphmp/Fulltext/2018/03000/Getting_the_Word_Out__New_Approaches_for.4.aspx)
- Centers for Disease Control and Prevention: The Program Sustainability Assessment Tool: A New Instrument for Public Health Programs. [http://www.cdc.gov/pcd/issues/2014/13\\_0184.htm](http://www.cdc.gov/pcd/issues/2014/13_0184.htm)
- Centers for Disease Control and Prevention: Using the Program Sustainability Tool to Assess and Plan for Sustainability. [http://www.cdc.gov/pcd/issues/2014/13\\_0185.htm](http://www.cdc.gov/pcd/issues/2014/13_0185.htm)
- Cancer Prevention and Control Research Network: Putting Public Health Evidence in Action Training Workshop. <http://cpcrn.org/pub/evidence-in-action/>
- Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. <http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>

## 9. REFERENCES

1. National Cancer Institute, <https://www.cancer.gov>
2. American Cancer Society, Cancer Facts and Figures 2016, <http://www.cancer.org/research/cancerfactsstatistics/cancerfactsfigures2016>
3. Texas Cancer Registry, Cancer Epidemiology and Surveillance Branch, Texas Department of State Health Services. <https://www.cancer-rates.info/tx/>
4. Centers for Disease Control and Prevention. Distinguishing Public Health Research and Public Health Nonresearch. <http://www.cdc.gov/od/science/integrity/docs/cdc-policy-distinguishing-public-health-research-nonresearch.pdf>

## APPENDIX A: KEY TERMS

- **Activities:** A listing of the “who, what, when, where, and how” for each objective that will be accomplished.
- **Capacity Building:** Any activity (eg, training, identification of alternative resources, building internal assets) that builds durable resources and enables the grantee’s setting or community to continue the delivery of some or all components of the evidence-based intervention.
- **Clinical Services:** Number of clinical services such as screenings, diagnostic tests, vaccinations, counseling sessions, or other evidence-based preventive services delivered by a health care practitioner in an office, clinic, or health care system. Other examples include genetic testing or assessments, physical rehabilitation, tobacco cessation counseling or nicotine replacement therapy, case management, primary prevention clinical assessments, and family history screening.
- **Counties of Residence of Population Served:** Counties where the project does not plan to have a physical presence but people who live in these counties have received services. This includes counties of residence of people or places of business of professionals who participate in or receive education, navigation, or clinical services. Examples include people traveling to receive services as a result of marketing and programs accessible via the website or social media. These counties may be described in the project plan and must be reported in the quarterly progress report.
- **Counties with Service Delivery:** Counties where an activity or service will occur and the project has a physical presence for the services provided. Examples include onsite outreach and educational activities and delivery of clinical services through clinics, mobile vans, or telemedicine consults. These counties must be entered in the Geographic Area to be Served section of the application.
- **Education Services:** Number of evidence-based, culturally appropriate cancer prevention and control education and outreach services delivered to the public and to health care professionals. Examples include education or training sessions (group or individual), focus groups, and knowledge assessments. One individual may receive multiple education services.

- **Evidence-Based Program:** A program that is validated by some form of documented research or applied evidence. CPRIT’s website provides links to resources for evidence-based strategies, programs, and clinical recommendations for cancer prevention and control. To access this information, visit <https://www.cprit.state.tx.us/our-programs/prevention>.
- **Goals:** Broad statements of general purpose to guide planning. Outcome goals should be few in number and focus on aspects of highest importance to the project. ([Appendix B](#))
- **Integration:** The extent the evidence-based intervention is integrated within the culture of the grantee’s setting or community through policies and practice.
- **Navigation Services:** Number of activities/services that offer assistance to help overcome health care system barriers in a timely and informative manner and facilitate cancer screening and diagnosis to improve health care access and outcomes. Examples include patient reminders, transportation assistance, and appointment scheduling assistance. One individual may receive multiple navigation services.
- **Number of Clinical Services:** Number of [clinical services](#) delivered directly to members of the public by the funded project. One individual may receive multiple clinical services.
- **Number of Services (Direct Contact):** Number of services delivered directly to members of the public and/or professionals—direct, interactive public or professional education, outreach, training, navigation service, or clinical service, such as live educational and/or training sessions, vaccine administration, screening, diagnostics, case management/navigation services, and physician consults. One individual may receive multiple services.
- **Objectives:** Specific, **measurable**, actionable, realistic, and timely projections for outcomes; example: “Increase screening service provision in X population from Y% to Z% by 20xx.” Baseline data for the priority population must be included as part of each objective. ([Appendix B](#)) The proposed metric should be included in **both** the objective and the measure (eg, Measure: 1,000 individuals will undergo LDCT and be referred for diagnostic testing as necessary).
- **People Reached (Indirect contact):** Number of members of the public and/or professionals reached via indirect noninteractive public or professional education and outreach activities, such as mass media efforts, brochure distribution, public service

announcements, newsletters, and journals. (This category includes individuals who would be reached through activities that are directly funded by CPRIT as well as individuals who would be reached through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.)

- **Unique People Served (Direct Contact):** Number of unique members of the public and/or professionals served via direct, interactive public or professional education, outreach, training, navigation service, or clinical service. This category includes individuals who would be served through activities that are directly funded by CPRIT as well as individuals who would be served through activities that occur as a direct consequence of the CPRIT-funded project's leveraging of other resources/funding to implement the CPRIT-funded project.

## APPENDIX B: WRITING GOALS AND OBJECTIVES

List only major **outcome goals** and **measurable objectives** for each year of the project. **Do not include process objectives**; these should be described in the project plan only. Include the proposed metric within **both** the stated objective **and** the measure (eg, Measure: 1,000 individuals will undergo LDCT and be referred for diagnostic testing as necessary).

The maximum number is 3 goals with 3 objectives each. Projects will be evaluated annually on progress toward **outcome** goals and objectives.

**The following guide has been adapted with permission from Appalachia Community Cancer Network, NIH Grant U54 CA 153604:**

**Develop well-defined outcome goals and objectives.**

**Goals** provide a roadmap or plan for where a group wants to go. Goals can be long term (over several years) or short term (over several months). Goals should be based on needs of the community and evidence-based data.

Goals should be:

- Believable – situations or conditions that the group believes can be achieved
- Attainable – possible within a designated time
- Tangible – capable of being understood or realized
- On a timetable – with a completion date
- Win-Win – beneficial to individual members and the coalition

**Objectives** are measurable steps toward achieving the goal. They are clear statements of specific activities required to achieve the goal. The best objectives have several characteristics in common – S.M.A.R.T. + C:

- Specific – they tell how much (number or percent), who (participants), what (action or activity), and by when (date)
  - Example: 115 uninsured individuals age 50 and older will complete colorectal cancer screening by March 31, 2018.
- Measurable – specific measures that can be collected, detected, or obtained to determine successful attainment of the objective

- Example: How many screened at an event? How many completed pre/post assessment?
- Achievable – not only are the objectives themselves possible, it is likely that your organization will be able to accomplish them
- Relevant to the mission – your organization has a clear understanding of how these objectives fit in with the overall vision and mission of the group
- Timed – developing a timeline is important for when your task will be achieved
- Challenging – objectives should stretch the group to aim on significant improvements that are important to members of the community

### **Evaluate and refine your objectives**

Review your developed objectives and determine the type and level of each using the following information:

#### **There are 2 types of objectives:**

- Outcome objectives – measure the “what” of a program; should be in the Goals and Objectives form ([see section 4.4.2](#))
- Process objectives – measure the “how” of a program; should be in the project plan only (see [section 4.4.4](#))

#### **There are 3 levels of objectives:**

- Community-level – objectives measure the planned community change
- Program impact – objectives measure the impact the program will have on a specific group of people
- Individual – objectives measures participant changes resulting from a specific program, using these factors:
  - Knowledge – understanding (know screening guidelines; recall the number to call for screening)
  - Attitudes – feeling about something (will consider secondhand smoke dangerous; believe eating 5 or more fruits and vegetable is important)
  - Skills – the ability to do something (complete fecal occult blood test)
  - Intentions – regarding plan for future behavior (will agree to talk to the doctor, will plan to schedule a Pap test)

- Behaviors (past or current) – to act in a particular way (will exercise 30+ minutes a day, will have a mammogram)

**Well-defined outcome goals and objectives can be used to track, measure, and report progress toward achievement.**

**Summary Table**

	<b>Outcome – Use in Goals and Objectives</b>	<b>Process – Use in Project Plan only</b>
<b>Community-level</b>	<p>WHAT will change in a community</p> <p><i>Example: As a result of CPRIT funding, FIT (fecal immunochemical tests) will be available to 1,500 uninsured individuals age 50 and over through 10 participating local clinics and doctors.</i></p>	<p>HOW the community change will come about</p> <p><i>Example: Contracts will be signed with participating local providers to enable uninsured individuals over age 50 have access to free colorectal cancer screening in their communities.</i></p>
<b>Program impact</b>	<p>WHAT will change in the target group as a result of a particular program</p> <p><i>Example: As a result of this project, 200 uninsured women between 40 and 49 will receive free breast and cervical cancer screening.</i></p>	<p>HOW the program will be implemented to affect change in a group/population</p> <p><i>Example: 2,000 female clients, between 40 and 49, will receive a letter inviting them to participate in breast and cervical cancer screening.</i></p>
<b>Individual</b>	<p>WHAT an individual will learn as a result of a particular program, or WHAT change an individual will make as a result of a particular program</p> <p><i>Example: As a result of one-to-one education of 500 individuals, at least 20% of participants will participate in a smoking cessation program to quit smoking.</i></p>	<p>HOW the program will be implemented to affect change in an individual’s knowledge or actions</p> <p><i>Example: As a result of one-to-one counseling, all participants will identify at least 1 smoking cessation service and 1 smoking cessation aid.</i></p>

# Third Party Observer Reports

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## **Cancer Prevention and Research Institute of Texas (CPRIT)**

### **20.2 Prevention Panel - 1 Meeting (20.2 PRV PP-1)**

#### **Observation Report**

Report No. 2020-05-12 20.2\_PRV\_PP-1  
Program Name: Prevention  
Panel Name: 20.2 Prevention Panel - 1 (20.2\_PRV\_PP-1)  
Panel Date: 05-12-2020  
Report Date: 05-21-2020

#### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

#### ***INTRODUCTION***

The subject of this report is the 20.2 Prevention Panel - 1 (20.2\_PRV\_PP-1) meeting. The meeting was chaired by Nancy Lee and conducted via teleconference on May 12, 2020.

#### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

Three (3) BFS independent observer(s) participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Twelve (12) applications were discussed and six (6) were not discussed
- Panelists: One (1) panel chair, nine (9) expert reviewers and three (3) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Seven (7)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions
- CPRIT Oversight Committee Members: Two (2)
- CPRIT Oversight Committee Members did not actively participate in the meeting.

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. Our observations are based on the information available.

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)** **20.2 Prevention Review Council Programmatic Review Panel** **(20.2 PRV PRC) Observation Report**

Report No. 2020-06-15 20.2\_PRV\_PRC  
Program Name: Prevention  
Panel Name: 20.2 Prevention Review Council Programmatic Review Panel  
(20.2\_PRV\_PRC)  
Panel Date: 06-15-2020  
Report Date: 06-17-2020

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the 20.2 Prevention Review Council Programmatic Review Panel (20.2\_PRV\_PRC) meeting. The meeting was chaired by Stephan Wyatt and conducted via teleconference on June 15, 2020.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observers participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) applications were discussed
- Panelists: One (1) panel chair and two (2) expert reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: One (1)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There were zero (0) Conflicts of Interest (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. Our observations are based on the information available.

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 'M' followed by a horizontal line that tapers 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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Prevention Cycle 20.2 Applications

#### Prevention Cycle 20.2 Applications Announced at the August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Prevention Cycle 20.2 include *Evidence-Based Cancer Prevention Services*; *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations*; and *Tobacco Control and Lung Cancer Screening*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PD	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
No conflicts reported.			
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

# **T.A.C. Section 702.19 Waiver**

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**SUBJECT:** T.A.C. § 702.19 WAIVER  
**DATE:** FEBRUARY 25, 2020

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**Summary**

This is to notify the Oversight Committee that pursuant to the authority provided to the Chief Executive Officer in T.A.C. § 702.19(e), I grant Ramona Magid, CPRIT's Chief Prevention Officer, a waiver from the general prohibition against communicating with grant applicants. The waiver is currently and retroactively applicable to the second prevention review cycle of FY 2020, which is scheduled for review beginning in March. No Oversight Committee action related to this waiver is necessary.

**Background and Discussion**

As the Oversight Committee is aware, I promoted Ms. Magid to the Chief Prevention Officer position on June 1, 2019, following Dr. Becky Garcia's retirement. The Chief Prevention Officer is a statutorily mandated member of the Program Integration Committee (PIC). Texas Administrative Code § 702.19 prohibits substantive communication between the grant applicant and a member of the peer review panel, the PIC, or the Oversight Committee while the application is pending a final decision. The restriction on communication is one way that CPRIT prevents even the appearance of unequal treatment during the grant review process.

Traditionally, a chief program officer leads each CPRIT program with the assistance of a program manager. The program manager fields inquiries from and provides technical help to applicants completing their CPRIT grant applications. However, the prevention program manager position is vacant currently with Ms. Magid's promotion. Until CPRIT fills the program manager position, Ms. Magid is the sole point of contact for the prevention program. The communication waiver is necessary so that she can help grant applicants who have questions during the application process.

I granted Ms. Magid a waiver applicable to the first cycle of FY2020 for the same purposes. At the time, I granted the waiver specifically for the first cycle because we hoped that the prevention program manager position would be filled by the time the second cycle of FY2020 opened; however, that was not the case. The application receipt period for the prevention program's second cycle was November 11, 2019 through February 12, 2020. While this waiver is dated after the receipt period, in practice, Ms. Magid continued to operate under the T.A.C.

§ 702.19 waiver that was granted in June 2019 by answering non-substantive questions from applicants. Her communication did not result in any application receiving a benefit over another. She refrained from speaking about the substance of a pending grant application with any grant applicant to the second cycle.

It is possible that I will grant Ms. Magid a standing T.A.C. § 702.19 waiver until the prevention program manager position is filled. The next application cycle, which is the first cycle in FY2021, will open in June with an application submission deadline in September. If in June Ms. Magid continues to be the solitary point of contact in the prevention program, I will grant her a standing communication waiver until staff is added. If a standing waiver is granted, I will notify the Oversight Committee with a written memorandum.

Approving this waiver does not favor any grant applicant over another. Ms. Magid will provide technical assistance only and will not comment on the substance of a grant application.

This waiver will be part of the grant record for the cycle 20.2 prevention grant applications.

# **De-Identified Overall Evaluation Scores**

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# Tobacco Control and Lung Cancer Screening

Prevention Cycle 20.2

Application ID	Final Overall Evaluation Score
PP200071*	2.6
da	4.7
db	5.3
dc	7.8

\* Recommended for CPRIT award

# **Final Overall Evaluation Scores and Rank Order Scores**

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Dee Margo  
Oversight Committee Presiding Officer  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)  
Via email to Dee Margo assistant, Olivia Zepeda, [zepedaox@elpasotexas.gov](mailto:zepedaox@elpasotexas.gov)

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. Roberts and Mr. Margo,

On behalf of the Prevention Review Council (PRC), I am pleased to provide the PRC's recommendations for the cycle 20.2 Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations (EPS) and and Tobacco Control and Lung Cancer Screening (TCL) awards.

The PRC met on June 15, 2020 to consider the applications recommended by the peer review panel following their May 12 meeting.

The projects are numerically ranked in the order the PRC recommends the applications be funded. Recommended funding amounts and the overall evaluation score are stated for each grant application. The PRC made changes to the goals, project objectives, or timelines on two applications.

The remaining funding available for fiscal year 2020 is \$14,527,312. These recommended projects total \$14,063,633.

Our recommendations meet the PRC's standards for grant award funding of projects that are evidence-based, deliver programs or services to underserved populations, and focus on primary, secondary or tertiary prevention. In making these recommendations the PRC continued to consider the available funding, the composition of the current portfolio, and the programmatic priorities in the RFA which include potential for impact and return on investment, geographic distribution, cancer type and type of program. All the recommended grants address one or more of the Prevention Program priorities.

Sincerely,  
Stephen W. Wyatt, DMD, MPH  
Chair, CPRIT Prevention Review Council

Attachment

App ID	Mechanism	Type	Title	PD	Organization	Total Requested Budget	Average Score	Rank Order
PP200048	EPS	New	Expanding a successful postpartum HPV vaccination project to women in the Rio Grande Valley	Berenson, Abbey	The University of Texas Medical Branch at Galveston	\$ 1,999,991	2.0	1
PP200066	EPS	New	Expanding Mailed Stool Test-Based Colorectal Cancer Screening in Vulnerable Populations in Central Texas	Pignone, Michael	The University of Texas at Austin	\$ 1,999,227	2.0	2
PP200064	EPS	New	A Regional Expansion of Cervical Cancer Screening and Patient Navigation in North Texas (E-XSPAN)	Argenbright, Keith	The University of Texas Southwestern Medical Center	\$ 1,999,996	2.1	3
PP200075	EPS	Resubmission	Establish a Comprehensive Cancer Prevention and Support Program among Asian-American Communities in Houston, Dallas/Fort Worth and Austin Areas of Texas	Sun, Helen	Light and Salt Association	\$ 1,467,728	2.1	4
PP200057	EPS	New	School-based Human Papillomavirus Vaccination Program in the Rio Grande Valley: Continuation and Expansion in Starr, Zapata, and Jim Hogg County	Rodriguez, Ana	The University of Texas Medical Branch at Galveston	\$ 1,993,140	2.2	5
PP200071	TCL	Resubmission	Promoting access to maternal smoking cessation and smoke-free home services among low-income rural pregnant women and their household smokers	Chen, Lei-Shih	A&M University	\$ 1,000,000	2.6	6
PP200070	EPS	New	EXPANSION OF TEXAS A&M'S CANCER PREVENTION PROGRAM TORURAL AND MEDICALLY UNDERSERVED	Lichorad, Anna	Texas A &M University System Health Science Center	\$ 1,656,478	3.1	7
PP200068	EPS	Resubmission	Expanding Colorectal Cancer Prevention and Education Through Community-Based Outreach and Information Technology	Rustveld, Luis	Baylor College of Medicine	\$ 1,947,073	3.4	8



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200048**  
**Expansion of Cancer Prevention Services to Rural and**  
**Medically Underserved Populations**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received eight applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

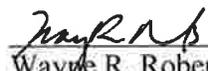
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the "CEO Affidavit-Supporting Information" packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application's grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT's administrative rules. This statement is true."

  
\_\_\_\_\_  
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.

  
\_\_\_\_\_  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
**APPLICATION ID:** PP200048  
**APPLICATION TITLE:** Expanding a successful postpartum HPV vaccination project to women in the Rio Grande Valley  
**APPLICANT NAME:** Berenson, Abbey B  
**ORGANIZATION:** The University of Texas Medical Branch at Galveston  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>10/15/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>11/11/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/07/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/13/2020</b>	07/10/2020
<b>Peer Review Meeting</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>04/09/2020</b>	07/10/2020
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/19/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/21/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/29/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/10/2020
<b>Final PRC Recommendation</b>	<b>Score report delivered to CPO</b>	<b>05/21/2020</b>	07/10/2020
	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
	<b>COI indicated by PRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>PRC Meeting</b>	<b>06/15/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
<b>PIC Review</b>	<b>PRC Chair Notification to PIC and OC</b>	<b>06/30/2020</b>	07/16/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200057**  
**Expansion of Cancer Prevention Services to Rural and**  
**Medically Underserved Populations**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received eight applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

*Wayne R. Roberts*

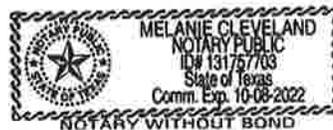
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 6 day of August, 2020, by WAYNE R. ROBERTS.

*Melanie Cleveland*

Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
**APPLICATION ID:** PP200057  
**APPLICATION TITLE:** School-based Human Papillomavirus Vaccination Program in the Rio Grande Valley: Continuation and Expansion in Starr, Zapata, and Jim Hogg County  
**APPLICANT NAME:** Rodriguez, Ana M  
**ORGANIZATION:** The University of Texas Medical Branch at Galveston  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>10/15/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>11/11/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/12/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/28/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/13/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/11/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>04/27/2020</b>
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/24/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/21/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/20/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/10/2020
	<b>Score report delivered to CPO</b>	<b>05/21/2020</b>	07/10/2020
	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
	<b>Final PRC Recommendation</b>	<b>COI indicated by PRC member</b>	<b>NONE</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>PRC Meeting</b>		<b>06/15/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>PRC Chair Notification to PIC and OC</b>		<b>06/30/2020</b>	07/16/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200064**  
**Expansion of Cancer Prevention Services to Rural and**  
**Medically Underserved Populations**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received eight applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”



Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 6 day of August, 2020, by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
**APPLICATION ID:** PP200064  
**APPLICATION TITLE:** A Regional Expansion of Cervical Cancer Screening and Patient Navigation in North Texas (E-XSPAN)  
**APPLICANT NAME:** Argenbright, Keith E  
**ORGANIZATION:** The University of Texas Southwestern Medical Center  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>10/15/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>11/11/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/10/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/11/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Peer Review Meeting</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>04/23/2020</b>	07/10/2020
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/24/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/23/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/24/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/10/2020
<b>Final PRC Recommendation</b>	<b>Score report delivered to CPO</b>	<b>05/21/2020</b>	07/10/2020
	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
	<b>COI indicated by PRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>PRC Meeting</b>	<b>06/15/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
<b>PIC Review</b>	<b>PRC Chair Notification to PIC and OC</b>	<b>06/30/2020</b>	07/16/2020
	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>		



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200066**  
**Expansion of Cancer Prevention Services to Rural and**  
**Medically Underserved Populations**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received eight applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

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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

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

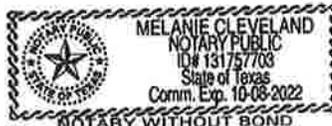
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
 the 4 day of August, 2020,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
**APPLICATION ID:** PP200066  
**APPLICATION TITLE:** Expanding Mailed Stool Test-Based Colorectal Cancer Screening in Vulnerable Populations in Central Texas  
**APPLICANT NAME:** Pignone, Michael  
**ORGANIZATION:** The University of Texas at Austin  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>10/15/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>11/11/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/12/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/12/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/11/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/16/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/13/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>04/19/2020</b>
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/24/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>05/14/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/21/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/10/2020
	<b>Score report delivered to CPO</b>	<b>05/21/2020</b>	07/10/2020
	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
	<b>Final PRC Recommendation</b>	<b>COI indicated by PRC member</b>	<b>NONE</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>PRC Meeting</b>		<b>06/15/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>PRC Chair Notification to PIC and OC</b>		<b>06/30/2020</b>	07/16/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200068**  
**Expansion of Cancer Prevention Services to Rural and**  
**Medically Underserved Populations**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received eight applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

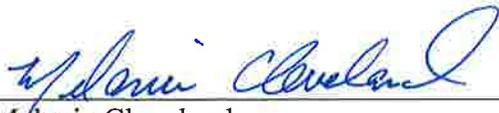
In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

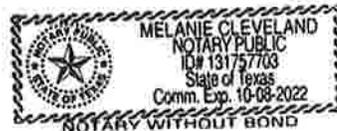
I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
 County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
 the 6 day of August, 2020,  
 by WAYNE R. ROBERTS.

  
 \_\_\_\_\_  
 Melanie Cleveland  
 Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
**APPLICATION ID:** PP200068  
**APPLICATION TITLE:** Expanding Colorectal Cancer Prevention and Education Through Community-Based Outreach and Information Technology  
**APPLICANT NAME:** Rustveld, Luis  
**ORGANIZATION:** Baylor College of Medicine  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>10/15/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>11/11/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/12/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/13/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/19/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/13/2020</b>	07/10/2020
<b>Peer Review Meeting</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>04/28/2020</b>	07/10/2020
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/21/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/20/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/26/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/10/2020
	<b>Score report delivered to CPO</b>	<b>05/21/2020</b>	07/10/2020
	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
<b>Final PRC Recommendation</b>	<b>COI indicated by PRC member</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>PRC Meeting</b>	<b>06/15/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>06/17/2020</b>	07/10/2020
	<b>Recommended for grant award</b>	<b>YES</b>	07/10/2020
	<b>PRC Chair Notification to PIC and OC</b>	<b>06/30/2020</b>	07/16/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200070**  
**Expansion of Cancer Prevention Services to Rural and**  
**Medically Underserved Populations**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received eight applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

*Wayne R. Roberts*

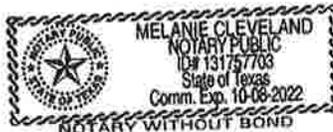
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on the 4 day of August, 2020, by WAYNE R. ROBERTS.

*Melanie Cleveland*

Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
**APPLICATION ID:** PP200070  
**APPLICATION TITLE:** EXPANSION OF TEXAS A&M'S CANCER PREVENTION PROGRAM TO RURAL AND MEDICALLY UNDERSERVED WOMEN  
**APPLICANT NAME:** Lichorad, Anna  
**ORGANIZATION:** Texas A&M University System Health Science Center  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>10/15/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>11/11/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/10/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/13/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>04/23/2020</b>
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/19/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/24/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/27/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/10/2020
	<b>Score report delivered to CPO</b>	<b>05/21/2020</b>	07/10/2020
	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
	<b>Final PRC Recommendation</b>	<b>COI indicated by PRC member</b>	<b>NONE</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>PRC Meeting</b>		<b>06/15/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>PRC Chair Notification to PIC and OC</b>		<b>06/30/2020</b>	07/16/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200071**  
**Tobacco Control and Lung Cancer Screening**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Tobacco Control and Lung Cancer Screening Request for Applications (RFA)*. CPRIT received four applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

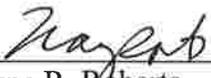
- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

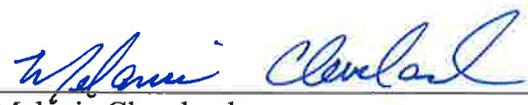
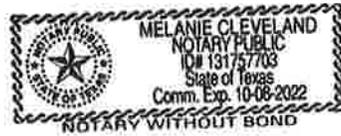
- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

  
 \_\_\_\_\_  
 Wayne R. Roberts,  
 CEO, Cancer Prevention and Research Institute of Texas

State of Texas County of Travis  SWORN to and SUBSCRIBED before me, the undersigned authority, on the <u>6</u> day of <u>August</u> , 2020, by WAYNE R. ROBERTS.   _____ Melanie Cleveland Notary Public, State of Texas	
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# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Tobacco Control and Lung Cancer Screening  
**APPLICATION ID:** PP200071  
**APPLICATION TITLE:** Promoting access to maternal smoking cessation and smoke-free home services among low-income rural pregnant women and their household smokers  
**APPLICANT NAME:** Chen, Lei-Shih  
**ORGANIZATION:** Texas A&M University  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
	<b>RFA published in Texas.gov eGrants</b>	<b>10/15/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>11/11/2019</b>	06/09/2020
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/12/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>NA</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/16/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/12/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>05/14/2020</b>
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/19/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/20/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/29/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/10/2020
	<b>Score report delivered to CPO</b>	<b>05/21/2020</b>	07/10/2020
	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
	<b>Final PRC Recommendation</b>	<b>COI indicated by PRC member</b>	<b>NONE</b>
<b>COI recused from participation</b>		<b>NA</b>	07/10/2020
<b>PRC Meeting</b>		<b>06/15/2020</b>	07/10/2020
<b>Third Party Observer Report</b>		<b>06/17/2020</b>	07/10/2020
<b>Recommended for grant award</b>		<b>YES</b>	07/10/2020
<b>PRC Chair Notification to PIC and OC</b>		<b>06/30/2020</b>	07/16/2020
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>	
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>	
	<b>COI Recused from participation</b>	<b>NA</b>	
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application PP200075**  
**Expansion of Cancer Prevention Services to Rural and**  
**Medically Underserved Populations**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations* Request for Applications (RFA). CPRIT received eight applications in response to this RFA. This application was assigned to the prevention panel-1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On February 25, 2020, I notified Oversight Committee members that I granted the Chief Prevention Officer, Ramona Magid, a waiver from the general prohibition against communicating with prevention cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, Dr. James Willson, Chief Scientific Officers, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”



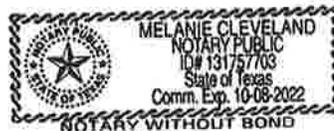
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 6 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Prevention  
**MECHANISM:** Expansion of Cancer Prevention Services to Rural and Medically Underserved Populations  
**APPLICATION ID:** PP200075  
**APPLICATION TITLE:** Establish a Comprehensive Cancer Prevention and Support Program among Asian- American Communities in Houston, Dallas/Fort Worth and Austin Areas of Texas  
**APPLICANT NAME:** Sun, Helen  
**ORGANIZATION:** Light and Salt Association  
**PANEL NAME:** 20.2\_Prevention Panel-1

Category	Compliance Requirement	Information	Attestation Date
<b>Pre-Receipt</b>	<b>RFA Approved by CPO</b>	<b>10/09/2019</b>	06/09/2020
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	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>02/12/2020</b>	06/09/2020
	<b>Date application submitted</b>	<b>02/11/2020</b>	07/10/2020
	<b>Method of submission</b>	<b>CARS</b>	07/10/2020
	<b>Within receipt period</b>	<b>YES</b>	07/10/2020
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	07/10/2020
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	07/10/2020
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/28/2020</b>
<b>Donation(s) made to CPRIT / foundation</b>		<b>NO</b>	07/10/2020
<b>Assigned to primary reviewers</b>		<b>03/20/2020</b>	07/10/2020
<b>Applicant notified of review panel assignment</b>		<b>03/18/2020</b>	06/09/2020
<b>Primary Reviewer 1 COI signed</b>		<b>03/12/2020</b>	07/10/2020
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>03/19/2020</b>	07/10/2020
<b>Primary Reviewer 3 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Primary Reviewer 4 COI signed</b>		<b>03/10/2020</b>	07/10/2020
<b>Peer Review Meeting</b>		<b>Primary Reviewer 1 critique submitted</b>	<b>04/24/2020</b>
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>04/18/2020</b>	07/10/2020
	<b>Primary Reviewer 3 critique submitted</b>	<b>04/28/2020</b>	07/10/2020
	<b>Primary Reviewer 4 critique submitted</b>	<b>04/20/2020</b>	07/10/2020
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	07/10/2020
	<b>COI recused from participation</b>	<b>NA</b>	07/10/2020
	<b>Discussed at Peer Review Meeting</b>	<b>YES</b>	07/10/2020
	<b>Peer Review Meeting</b>	<b>05/12/2020</b>	07/10/2020
	<b>Post review statements signed</b>	<b>05/13/2020</b>	07/10/2020
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	<b>Recommended for PRC review</b>	<b>YES</b>	07/10/2020
	<b>Final PRC Recommendation</b>	<b>COI indicated by PRC member</b>	<b>NONE</b>
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	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020
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	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>	
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>	
	<b>Award approved by Oversight Committee</b>	<b>NA</b>	
	<b>Authority to advance funds requested</b>	<b>NA</b>	
	<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>	



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# **CEO Affidavit Supporting Information**

**FY 2020—Cycle 2**  
*Texas Company Product Development Awards*

# Request for Applications

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**CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS**

# **REQUEST FOR APPLICATIONS RFA C-20.2-TXCO**

## **Texas Company Product Development Research Awards**

**Please also refer to the Instructions for Applicants document,  
which will be posted on December 4, 2019**

**Application Receipt Opening Date:** December 4, 2019

**Application Receipt Closing Date:** January 29, 2020

**FY 2020**

Fiscal Year Award Period

September 1, 2019 – August 31, 2020

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## **RFA VERSION HISTORY**

Rev 11/20/2019 RFA release

## 1. KEY POINTS

This Texas Company Product Development Research Award mechanism is governed by the following guidelines:

- All cancer-related sectors are eligible: therapeutics, diagnostics, devices, and tools. Products must diagnose cancer, treat cancer or treat sequelae specific to cancer.
- For therapeutics, Product Development Research Award funding supports preclinical research and early clinical research necessary to demonstrate initial clinical safety and efficacy (typically phase 1, phase 2A).
- Recipient companies must currently be Texas based (see [section 8.1](#)). The Cancer Prevention and Research Institute of Texas (CPRIT) requires the use of Texas-based subcontractors and suppliers unless adequate justification is provided for the use of out-of-state entities.
- CPRIT requires recipient companies to raise a portion of the total project budget from external sources. For a company receiving an initial CPRIT award, CPRIT will contribute \$2.00 for every \$1.00 contributed in matching funds by the recipient company. CPRIT reserves the right to seek a higher matching funds contribution (ie, CPRIT will contribute \$1.00 for every \$1.00 contributed in matching funds by the company) from a company that has already received a CPRIT award and is approved for a second award. The demonstration of available matching funds must be made prior to the distribution of CPRIT grant funds, not at the time the application is submitted. CPRIT funds should, whenever possible, be spent in Texas. A company's matching funds must be dedicated to the CPRIT-funded project but may be spent outside of Texas.
- Applicants may request up to \$20 million in CPRIT funds. CPRIT receives many more applications each year than available funds can support. While all requests for funding must be well justified, a funding request at or near the maximum amount will be heavily scrutinized. Such a request must be exceptionally well justified to warrant dedicating a large percentage of CPRIT's product development research budget to the applicant's project.
- Funding will be trached and tied to the achievement of contract-specified milestones.

- All award contracts include a revenue-sharing agreement. **A copy of the revenue-sharing agreement can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov) in the Product Development Research Program section.** Other contract provisions are specified in CPRIT's Administrative Rules, which are also available at [www.cprit.texas.gov](http://www.cprit.texas.gov).
- An application last submitted but not funded (including resubmission) before December 22, 2017, may be submitted as a new application, even if it was previously resubmitted (see [section 8.2](#)).
- Applicant companies are limited to 1 submission per cycle across all CPRIT Product Development award mechanisms.

## 2. ABOUT CPRIT

The State of Texas established CPRIT, which may issue up to \$3 billion in general obligation bonds to fund grants for cancer research and prevention.

CPRIT is charged by the Texas Legislature to do the following:

- Create and expedite innovation in the area of cancer research and product or service development, thereby enhancing the potential for a medical or scientific breakthrough in the prevention, treatment, and possible cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in the State of Texas; and
- Continue to develop and implement the Texas Cancer Plan by promoting the development and coordination of effective and efficient statewide public and private policies, programs, and services related to cancer and by encouraging cooperative, comprehensive, and complementary planning among the public, private, and volunteer sectors involved in cancer prevention, detection, treatment, and research.

CPRIT furthers cancer research in Texas by providing financial support for a wide variety of projects relevant to cancer research.

### 2.1. Product Development Research Program Priorities

Legislation from the 83rd Texas Legislature requires that CPRIT's Oversight Committee establish program priorities on an annual basis. The priorities are intended to provide

transparency in how the Oversight Committee directs the orientation of the agency’s funding portfolio. The Product Development Research Program’s principles and priorities will also guide CPRIT staff and the Product Development Review Council on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs.

**Established Principles:**

- Moving forward the development of commercial products to diagnose and treat cancer and improve the lives of patients with cancer
- Creation of good, high-paying jobs for Texans
- Sound financial return on the monies invested
- Development of the Texas high-tech life sciences business environment

<b>Product Development Research Program Priorities</b>
<ul style="list-style-type: none"><li>• Funding novel projects that offer therapeutic or diagnostic benefits not currently available; ie, disruptive technologies</li><li>• Funding projects addressing large or challenging unmet medical needs</li><li>• Investing in early-stage projects when private capital is least available</li><li>• Stimulating commercialization of technologies developed at Texas institutions</li><li>• Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life science expertise, especially experienced C-level staff, to lead to seed clusters of life science expertise at various Texas locations</li><li>• Providing appropriate return on Texas taxpayer investment</li></ul>

A full description of CPRIT’s program priorities may be found at <http://priorities.cprit.texas.gov/>.

**3. EXECUTIVE SUMMARY**

CPRIT will foster cancer research as well as product and service development in Texas by providing financial support for a wide variety of projects relevant to cancer. This RFA solicits applications for the research and development of innovative products addressing critically important needs related to diagnosis, prevention, and/or treatment of cancer and the product

development infrastructure needed to support these efforts. CPRIT encourages applicants who seek to apply or develop state-of-the-art products, services (eg, contract research organization services), technologies, tools, and/or resources for cancer research, prevention, or treatment. CPRIT expects outcomes of supported activities to directly and indirectly benefit subsequent cancer research efforts, cancer public health policy, or the continuum of cancer care—from prevention to treatment and cure. To fulfill this vision, applications may address any topic or issue related to cancer biology, causation, prevention, detection or screening, treatment, or cure. The overall goal of this award program is to improve outcomes of patients with cancer by accelerating the development of groundbreaking therapeutics, diagnostics, and tools with a primary focus on Texas-centric programs.

#### **4. MECHANISM OF SUPPORT**

The goal of the Texas Company Product Development Research Award is to finance the research and development of innovative products, services, and infrastructure with significant potential impact on patient care. These investments will provide companies or limited partnerships located and headquartered in Texas with the opportunity to further the research and development of new products for the diagnosis, treatment, supportive care, or prevention of cancer; to establish infrastructure that is critical to the development of a robust industry; or to fill a treatment, industry, or research gap. This award is intended to support companies that will be staffed with a majority of Texas-based employees, including C-level executives.

#### **5. OBJECTIVES**

The long-term objective of this award is to support commercially oriented therapeutic and medical technology products, diagnostic- or treatment-oriented information technology products, diagnostics, tools, services, and infrastructure projects. Common to all applications under this RFA should be the intent to further the research and development of products that would eventually be approved and marketed for the diagnosis, prevention, and/or treatment of cancer. Eligible products or services include—but are not limited to—therapeutics (eg, small molecules and biologics), diagnostics, devices, and potential breakthrough technologies, including software and research discovery techniques.

CPRIT seeks to maximize the clinical impact of our funding. Hence, we focus investment in translational research and development activities, including the following eligible stages:

- Studies that establish preclinical proof of concept
- GLP studies to support INDs
- Phase 1 to establish safety and a maximally tolerated dose
- Phase 2 studies to determine safety and efficacy in initial targeted patient populations (up to 100 patients)

CPRIT typically does not fund efforts outside of these parameters. We do not consider studies larger than what are described as “translational” and, hence, such studies are outside the scope of our interest. Companies that have clinically demonstrated safety and efficacy should be able to acquire necessary capital via other sources. By exception, later clinical trials or later-stage product development projects may be considered where exceptional circumstances warrant CPRIT investment.

CPRIT’s objectives and program priorities are established by its Oversight Committee. Consistent with the above, these priorities include “funding projects at Texas companies and relocating companies that are most likely to bring important products to the market.” A full description of CPRIT’s program priorities may be found at <http://priorities.cprit.texas.gov/>.

## **6. FUNDING INFORMATION**

This is a 3-year funding program. Financial support will be awarded based upon the breadth and nature of the research and development project proposed. Requested funds must be well justified. Funding will be milestone driven.

Funds may be used for salary and fringe benefits, research supplies, equipment, clinical trial expenses, intellectual property (IP) acquisition and protection, external consultants and service providers, travel in support of the project, and other appropriate research and development costs, subject to certain limitations set forth by Texas law. If a company is working on multiple projects, care should be taken to ensure that CPRIT funds are used to support activities directly related to the specific project being funded. Requests for funds to support construction and/or renovation may be considered under compelling circumstances for projects that require facilities that do not already exist in the state. Texas law limits the amount of awarded funds that may be

spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs).

For companies receiving an initial CPRIT award, CPRIT will award \$2.00 for every \$1.00 contributed in matching funds by the company. CPRIT reserves the right to seek a higher matching funds contribution, ie, CPRIT will contribute \$1.00 for every \$1.00 contributed in matching funds by the company) from a company that has already received a CPRIT award and is approved for a second award. The demonstration of available matching funds must be made prior to the distribution of CPRIT funds, not at the time the application is submitted. The matching funds commitment may be fulfilled on a year-by-year basis.

## **7. KEY DATES**

<b>RFA release</b>	November 20, 2019
<b>Online application opens</b>	December 4, 2019, 7 AM central time
<b>Applications due</b>	January 29, 2020, 4 PM central time
<b>Invitations to present sent</b>	March 2020
<b>Notifications sent if not invited</b>	March 2020
<b>Presentations to CPRIT*</b>	April 2020
<b>Award Notification</b>	August 2020
<b>Anticipated Start Date</b>	September 2020

\* Applicants will be notified of their peer review panel assignments prior to the peer review meeting dates. Information on the timing of subsequent steps will be provided to applicants later in the process.

## **8. ELIGIBILITY**

### **8.1. Applicants**

- Either for-profit or non-profit companies may apply. However, non-profit companies must intend to bring a product to market. Applications may be submitted prior to company formation, but company formation must be completed before award receipt. Applicants will be required to provide a data universal numbering system (DUNS) number before award receipt.

- Award recipients must be Texas-based. A company is considered to be Texas based if it currently fulfills or commits to fulfilling a majority of the following criteria:
  1. The US headquarters are physically located in Texas.
  2. The Chief Executive Officer resides in Texas.
  3. A majority of the company's personnel, including at least 2 other C-level employees (or equivalent) reside in Texas.
  4. Manufacturing activities take place in Texas.
  5. At least 90% of grant award funds are paid to individuals and entities in Texas, including salaries and personnel costs for employees and contractors.
  6. At least 1 clinical trial site is in Texas.
  7. The company collaborates with a medical research organization in Texas, including a public or private institution of higher education.

In exceptional circumstances, the applicant may propose 1 or more alternative location requirements, which the Oversight Committee may approve by a majority vote in an open meeting.

- Unless otherwise specified by the award contract, the company must fulfill all location requirements identified in the application within 1 year of receiving the initial disbursement of funds. Failure to maintain compliance with the location criteria will result in consequences ranging from suspension of grant funding to early termination of the grant contract and repayment of grant funds.
- All cancer-related sectors are eligible: therapeutics, diagnostics, devices, and tools. Project must diagnose cancer, treat cancer, or treat sequelae specific to cancer.
- An application last submitted before December 22, 2017, may be submitted as a new application, even if it was previously resubmitted.
- CPRIT is releasing 3 Product Development RFAs in this funding cycle. Please note that in any given application round, applicants are allowed to apply for only 1 Product Development Award (TXCO, RELCO, or Seed). Applicants are advised to review each RFA and select the program that best fits their development status.
- Only 1 coapplicant may be included on the application. For the Product Development Research Program, a coapplicant is an individual(s) designated by the applicant

organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. If so designated by the applicant organization, coapplicants share the authority and responsibility for leading and directing the project, intellectually and logistically. When multiple applicants are named, each is responsible and accountable for the proper conduct of the project, program, or activity, including the submission of all required reports. The presence of more than 1 applicant on an application or award diminishes neither the responsibility nor the accountability of any individual applicant.

- An applicant is eligible to receive a grant award only if the applicant certifies that the company, including the company representative, any senior member or key personnel listed on the application, or any company officer or director (or any person related to 1 or more of these individual within the second degree of consanguinity or affinity), has not made and will not make a contribution to CPRIT or to any foundation specifically created to benefit CPRIT.
- An applicant is not eligible to receive CPRIT funding if the company representative, any senior member or key personnel listed on the application, or any company officer or director is related to a CPRIT Oversight Committee member.
- The applicant must report whether the company, company representative, or other individuals who contribute to the execution of the proposed project in a substantive, measurable way, whether or not those individuals are slated to receive salary or compensation under the grant award, are currently ineligible to receive federal grant funds or have had a grant terminated for cause within 5 years prior to the submission date of the grant application. If the applicant or other individuals are ineligible to receive federal grant funds or have had a grant terminated for cause, the applicant may be contacted to provide more information.
- CPRIT grants will be awarded by contract to successful applicants. Certain contractual requirements are mandated by Texas law or by administrative rules. Although the applicant need not demonstrate the ability to comply with these contractual requirements at the time the application is submitted, applicants should familiarize themselves with these standards before submitting a grant application. Significant issues addressed by the

CPRIT contract are listed in [section 11](#) and [section 12](#). All statutory provisions and relevant administrative rules can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov).

## 8.2. Resubmission Policy

- An application previously submitted to CPRIT within the last 2 years (after December 22, 2017) but not funded may be resubmitted once and must follow all resubmission guidelines. **An application that was last submitted before December 22, 2017, may be submitted as a new application, even if the most recent submittal (prior to December 22, 2017), was a resubmission.** For additional clarity regarding the 20.2 application cycle, this means that an application that was last submitted during or before the 18.1 cycle is considered a new application. In contrast, an application that was last submitted during or after the 18.2 cycle is considered a resubmission. It is expected that significant progress will have been made on the project; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to submit an application with such modest changes.
- An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the applicant or company representative for a project or a change of title of the project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. An application that was administratively withdrawn by the applicant or by CPRIT prior to review by the review panel is not considered a submission for purposes of CPRIT's resubmission policy.
- Applicants who choose to resubmit should carefully consider the reasons for lack of prior success. Applications that received an overall numerical score of 5 or higher are likely to need considerable attention. All resubmitted applications should be carefully reconstructed; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to direct reviewers to such modest changes. A 1-page summary of the approach to the resubmission should be included. Resubmitted applications may be assigned to reviewers who did not review the original submission. Reviewers of resubmissions are asked to assess whether the resubmission adequately addresses critiques from the previous review. **Applicants should note that addressing previous critiques is advisable; however, it does not**

**guarantee the success of the resubmission.** All resubmitted applications must conform to the structure and guidelines outlined in this RFA.

## **9. APPLICATION REVIEW**

### **9.1. Overview**

Applications will be assessed based on evaluation of the quality of the company and the potential for continued product development. CPRIT requires the submission of a comprehensive development plan (see [section 10.4.7](#)) and a detailed business plan (see [section 10.4.8](#)). The review will address the commercial viability, product feasibility, scientific merit, and therapeutic impact as detailed in the company's business and development plans. The plans will be reviewed by an integrated panel of individuals with biotechnology expertise and experience in translational and clinical research as well as in the business development/regulatory approval processes for therapeutics, devices, and diagnostics. In addition, advocate reviewers will participate in the review process.

Funding decisions are made via the review process described below.

### **9.2. Review Process**

- **Product Development and Scientific Review:** Applications that pass initial administrative review are assigned to independent CPRIT Product Development Peer Review Panel members for evaluation using the criteria listed below. Based on the initial evaluation and discussion by the Product Development Review Panel, a subset of applicants may be invited to deliver in-person presentations to the review panel.
- **Due Diligence Review:** Following the in-person presentations, a subset of applications judged to be most meritorious by the Product Development Review Panels will be referred for additional in-depth due diligence, including—but not limited to—IP, management, regulatory, manufacturing, and market assessments. Please note that CPRIT may request to review any correspondence that an applicant has with regulatory agencies (eg the FDA) as part of the diligence process. Following the due diligence review, applications may be recommended for funding by the CPRIT Product Development Review Council based on the information set forth in the due diligence and IP reviews,

comparisons with applications from the Product Development Review Panels, and programmatic priorities.

- **Program Integration Committee Review:** Applications recommended by the Product Development Review Council will be forwarded to the CPRIT Program Integration Committee (PIC) for review. The PIC will consider factors including program priorities set by the Oversight Committee, portfolio balance across programs, and available funding.
- **Oversight Committee Approval:** The CPRIT Oversight Committee will vote to approve each grant award recommendation made by the PIC. The grant award recommendations will be presented at an open meeting of the Oversight Committee and must be approved by two-thirds of the Oversight Committee members present and eligible to vote.

The review process is described more fully in CPRIT’s Administrative Rules, [chapter 703, sections 703.6 to 703.8](#).

### **9.2.1. Confidentiality of Review**

Each stage of application review is conducted confidentially, and all CPRIT Product Development Peer Review Panel members, Product Development Review Council members, PIC members, CPRIT employees, and Oversight Committee members with access to grant application information are required to sign nondisclosure statements regarding the contents of the applications. All technological and scientific information included in the application is protected from public disclosure pursuant to Health and Safety Code §102.262(b).

An applicant will be notified regarding the peer review panel assigned to review the grant application. Peer review panel members are listed by panel on CPRIT’s website. Individuals directly involved with the review process operate under strict conflict-of-interest prohibitions. All CPRIT Product Development Peer Review Panel members and Product Development Review Council members are non-Texas residents.

**By submitting a grant application, the applicant agrees and understands that the only basis for reconsideration of a grant application is limited to an undisclosed conflict of interest as set forth in CPRIT’s Administrative Rules, [chapter 703, section 703.9](#).**

Any form of communication regarding any aspect of a pending application is prohibited between the applicant (or someone on the grant applicant’s behalf) and the following individuals: an

Oversight Committee member, a PIC member, a Product Development Review Panel member, or a Product Development Review Council member. Applicants should note that the CPRIT PIC comprises the CPRIT Chief Executive Officer, the Chief Scientific Officer, the Chief Prevention Officer, the Chief Product Development Officer, and the Commissioner of State Health Services. The prohibition on communication begins on the first day that grant applications for the particular grant mechanism are accepted by CPRIT and extends until the grant applicant receives notice regarding a final decision on the grant application. Intentional, serious, or frequent violations of this rule may result in the disqualification of the grant applicant from further consideration for a grant award.

### **9.3. Review Criteria**

Full peer review of applications will be based on primary scored criteria and secondary unscored criteria, listed below. Review committees will evaluate and score each primary criterion and subsequently assign a global score that reflects an overall assessment of the application. **The overall assessment will not be an average of the scores of the individual criteria; rather, it will reflect the reviewers' overall impression of the application. Evaluation of the scientific merit of each application is within the sole discretion of the peer reviewers.**

Attached to this RFA is a list of more detailed questions considered by CPRIT reviewers when assessing therapeutic applications ([Appendix 1](#), at the end of this document, titled “Reviewer Evaluation Guidelines for Therapeutics”) and when assessing medical devices, diagnostics and/or tools ([Appendix 2](#), “Reviewer Evaluations Guidelines for Medical Devices and Diagnostics”). Applicants are encouraged to review these documents and, to the extent possible, address the questions within their application.

#### **9.3.1. Primary Criteria**

Primary review criteria will evaluate the scientific merit and potential impact of the proposed work contained in the application. Concerns with any of these criteria potentially indicate a major flaw in the significance and/or design of the proposed program.

The criteria provided below are designed to provide an **overview** of topics that may be pertinent to the assessment of applications during peer review. Specific criteria applied to evaluate a given application will depend on the type of product described by the applicant (eg, therapeutic versus

medical device). **Detailed descriptions of the specific criteria employed for different product classes are provided in the appendices to this RFA.**

Primary review criteria are heavily weighted in determining the quality of an application. Reviewers provide numerical scores for these topic areas when evaluating applications. Primary criteria are intended to address the following topics:

- Significance and Impact
- Unmet Medical Need
- Product Validation/Proof of Concept
- Safety
- Preclinical Strength/Development to Date
- Development Plan
- Competitive Landscape
- Intellectual Property
- Business/Commercial Aspects
- Management and Staffing
- Production/Manufacturing Plan
- Overview of Clinical/Regulatory Plan

More details regarding these topics can be found in the appendices to this document.

### **9.3.2. Secondary Criteria**

Secondary review criteria contribute to the global score assigned to the application and are not assigned individual numerical scores. Concerns with these criteria potentially question the feasibility of the proposed research and development activities.

Secondary criteria include the following:

- Budget and Duration of Support

Please see appendices for more details.

## **10. SUBMISSION GUIDELINES**

Applicants are advised to review carefully all instructions in this section to ensure the accurate and complete submission of all components of the application. Please refer to the *Instructions for*

*Applicants* document for details that will be available on December 4, 2019. Applications that are missing 1 or more components, exceed the specified page or word limits, or that do not meet the eligibility requirements listed above will be administratively withdrawn without review.

### **10.1. Online Application Receipt System and Application Submission Deadline**

Applications must be submitted via the CPRIT Application Receipt System (CARS) (<https://CPRITGrants.org>). **Only applications submitted through this portal will be considered eligible for evaluation.** The applicant is eligible solely for the grant mechanism specified by the RFA under which the grant application was submitted. The applicant must create a user account in the system to start and submit an application. The coapplicant, if applicable, must also create a user account to participate in the application. Furthermore, the Application Signing Official (ASO) (an individual authorized to sign and submit an application on behalf of the applicant) must also create a user account in CARS. An application may not be submitted without ASO approval. Only the ASO is authorized to officially submit the application to CPRIT. It is acceptable (and not uncommon) for the applicant to also serve as the designated ASO. However, if the applicant intends to also serve as the ASO, the system requires that the applicant and the ASO have 2 different accounts and user names. Applications will be accepted beginning at 7 AM central time on December 4, 2019, and must be submitted by 4 PM central time on January 29, 2020. **Submission of an application is considered an acceptance of the terms and conditions of the RFA.**

### **10.2. Submission Deadline Extension**

The submission deadline may be extended upon a showing of good cause. Late submissions are permitted only in exceptional instances, usually for technology failures in the CARS. It is imperative that applicants allow sufficient time to familiarize themselves with the application format and instructions to avoid unexpected issues. The applicant's failure to adequately plan is not sufficient grounds to justify approval of a late submission.

Peer review schedules are set far in advance and do not accommodate receipt of an application days after the deadline. Therefore, potential applicants that are unable to meet the deadline due to issues such as travel, sabbaticals, conferences, prolonged illness, or other leave, etc, should not request additional time to submit an application but should instead consider submitting the application in the next review cycle.

A request to extend the submission deadline must be submitted via email to the CPRIT [Helpdesk](#) within 24 hours of the submission deadline. Submission deadline extensions, including the reason for the extension, will be documented as part of the grant review process records.

### **10.3. Product Development Review Fee**

All applicants must submit a nonrefundable fee of \$1,000 for review of Product Development Research applications. Payment should be made by check or money order payable to Cancer Prevention and Research Institute of Texas; electronic and credit card payments are not acceptable. The application ID and the name of the submitter must be indicated on the payment. Unless a request to submit a late fee has been approved by CPRIT, all payments must be postmarked by the application submission deadline and mailed as described below.

Checks may be mailed via the US Postal Service to the following address:

Cancer Prevention and Research Institute of Texas  
PO Box 12097  
Austin, Texas 78711

Contact name: Michelle Huddleston  
Phone 1-512-305-8420

Mail sent via a delivery services (ie, FedEx, UPS, etc) will need to use this address:

Cancer Prevention and Research Institute of Texas  
Wm B Travis State Office Building  
1701 N Congress Ave Ste 6-127  
Austin, Texas 78701

Contact name: Michelle Huddleston  
Phone 1-512-305-8420

### **10.4. Application Components**

Applicants are advised to minimize repetition among application components to the extent possible. In addition, applicants should use discretion in cross-referencing sections to maximize the amount of information presented within the page limits.

Please note that letters of commitment and/or memoranda of understanding from community organizations, key faculty, etc, are **not** required or requested. Please do not submit letters of

support as part of your application package. **Any such information will be removed from your application before review.**

#### **10.4.1. Layperson’s Summary (1,500-character maximum)**

Provide an abbreviated summary for a lay audience using clear, nontechnical terms. Describe specifically how the proposed project would support CPRIT’s mission (see [section 2](#)). Would it fill a needed gap in patient care or in the development of a sustainable oncology industry in Texas? Would it synergize with Texas-based resources? Describe the overall goals of the work, the type(s) of cancer addressed, the potential significance of the results, and the impact of the work on advancing the fields of diagnosis, treatment, or prevention of cancer. Clearly address how the company’s work, if successful, will have a major impact on the care of patients with cancer. The information provided in this summary will be made publicly available by CPRIT, particularly if the application is recommended for funding. The layperson’s summary will also be used by advocate reviewers in evaluating the significance and impact of the proposed work. Do not include any proprietary information in this section.

#### **10.4.2. Abstract and Significance (5,000-character maximum)**

Coherently explain the question or problem to be addressed and the approach to its answer or solution. The specific aims of the application must be obvious from the abstract although they need not be restated verbatim from the research plan. Address how the proposed project, if successful, will have a major impact on the care of patients with cancer. Describe how this application provides a path for acquiring proof-of-principle data necessary for next-stage commercial development. Clearly explain the product, service, technology, or infrastructure proposed; competition; market need and size; development or implementation plans; regulatory path; reimbursement strategy; and funding needs. Applicants must clearly describe the existing or proposed company infrastructure and personnel located in Texas for this endeavor.

#### **10.4.3. Goals and Objectives (maximum of 1,200 characters each)**

List specific goals and objectives for each year of the project. These goals and objectives will also be used during the submission and evaluation of progress reports and assessment of project success if the award is made. Identify time-specific references as follows: Year 1, Quarter 1 (Y1Q1), Y1Q2, etc. Do not specify actual calendar dates as this can be confusing when dates change.

#### **10.4.4. Timeline (1-page maximum)**

Provide a visual depiction of anticipated major milestones to be tracked in the form of a Gantt chart. Identify time-specific references as follows: Y1Q1, Y1Q2, etc, as opposed to naming specific months and years. Timelines will be reviewed for reasonableness, and adherence to timelines will be a criterion for continued support of successful applications. If the application is approved for funding, this section will be included in the award contract. Applicants are advised not to include information that they consider confidential or proprietary when preparing this section.

#### **10.4.5. Slide Presentation (10-page maximum)**

Provide a slide presentation summarizing the application. The presentation should be submitted in PDF format, with 1 slide filling each landscape-orientated page. The slides should succinctly capture all essential elements of the application and should stand alone.

#### **10.4.6. Resubmission Summary (1-page maximum)**

If this is a resubmission, upload a summary of the approach, including a summary of the applicant's response to previous feedback. Clearly indicate to reviewers how the application has been improved in response to the critiques. Refer the reviewers to specific sections of other documents in the application where further detail on the points in question may be found. When a resubmission is evaluated, responsiveness to previous critiques is assessed. If this is not a resubmission, then no summary is required.

**Note:** An application submitted or resubmitted before December 22, 2017, may be submitted as a new application, even if it was previously resubmitted. For the “new” applications, no summary is required.

#### **10.4.7. Development Plan (12-page maximum)**

Present the rationale behind the proposed product or service, emphasizing the pressing problem in cancer care that will be addressed. Summarize the evidence gathered to date in support of the company's ideas. **Describe the label claims that the company ultimately hopes to make, and describe the plan to gather evidence to support these claims.** Outline the steps to be taken during the proposed period of the award, including the design of the translational and/or clinical research, methods, and anticipated results. Describe potential problems or pitfalls and alternative

approaches to these risks. If clinical research is proposed, present a realistic plan to accrue a sufficient number of human subjects meeting the inclusion criteria within the proposed time period.

The development plan should include a defined **target product profile (TPP)** or analogous document for a medical device, in vitro diagnostic, or service that projects a clear path to full commercialization (see

<http://www.fda.gov/downloads/drugs/guidancecomplianceregulatoryinformation/guidances/ucm080593.pdf>). The TPP provides a statement of the *overall intent* of the product development program and gives information about the product *at a particular time* in development. Usually, the TPP is organized according to the key sections in the product package insert for a drug or biologic or medical device labeling and links development activities to specific concepts intended for inclusion in the product labeling. CPRIT recognizes that many applications are early in the development process and that not all elements of the TPP will be known at the time of application. Consequently, not only does the TPP serve as a snapshot in time of the development status of the program, but it additionally serves as an aspirational target upon eventual commercialization. The TPP should include the parameters below; the questions are intended to guide the thinking process and may include, but are not limited to, the examples provided.

- Identification of a target that is applicable to human cancer treatment. Is intervention with this target likely to lead to a therapeutic, medical device, diagnostic, or service that could be useful in the treatment of cancer?
- Selection of a lead compound, assay, or device technology based on the target. Is the identification of potential developmental candidates based on a set of in vitro tests followed by selection of a lead candidate based on considerations (as appropriate for the candidate) of pharmacodynamic parameters and the results of preclinical, in vivo, proof-of-principle studies in relevant animal models of disease?
- Description of a high-level clinical development plan detailing each of the clinical studies supporting marketing approval (phase 1, 2, and 3) the preclinical work is meant to support. Designing the preclinical program requires an understanding of the duration of the clinical studies required by regulatory authorities. Consequently, a brief outline of each of the phase 1, phase 2, and phase 3 studies necessary to obtain regulatory approval

and reimbursement funding must be sketched out prior to deciding which toxicology studies would be required.

Applicants developing cancer therapeutics are encouraged to become familiar with FDA guidance documents for submission of applications related to new product development. These documents provide a standard framework for new drug submissions and biologic license applications to the FDA. Utilizing this framework helps ensure that the submission to CPRIT contains all relevant elements and is optimally organized.

**Additionally, for therapeutics, the following apply:**

**Intended route of administration and dosing regimen.** Is the intended route of administration and dosing regimen consistent with accepted convention and medical need for the therapeutic, or will the use of this new agent require a paradigm shift (more frequent or less frequent dosing, new route or method of administration), and if so, what impact will it have on current standard of care?

**Optimization of the lead** to ensure desired characteristics, including, but not limited to, the following studies:

- Indication of the threshold of both the safety and efficacy necessary to be a competitive product when the product is introduced
- Absorption, distribution, metabolism, excretion, including, but not limited to, relevant studies based on route of administration
- Safety (studies as mandated by ICH guidelines)
- Biomarkers (assays) that potentially target specific patient populations for clinical trials
- Biomarkers (assays) that can serve as potential pharmacodynamic markers of clinical activity during early clinical trials designed to demonstrate proof of concept
- Proposed current good manufacturing practice (including estimated costs) that can be scalable from phase 1 through phase 2. Include information on whether there are plans for possible formulation.

The FDA's website provides "Common Technical Documents" (CTDs, see <https://www.ich.org/page/ctd>) for guidance documents. There are 3 CTDs covering safety, efficacy, and quality. This guidance presents a standard format for the preparation of a well-

structured application. Applicants may condense or summarize the CTD format as they deem appropriate to meet page limitations.

While originally intended for regulatory authorities, these formats are also applicable for a CPRIT application. Many of our reviewers have extensive pharmaceutical development expertise and are familiar with these standard formats. Hence, utilizing the CTD format will simplify the review and ensure that the application contains all the relevant elements.

CPRIT recognizes that many applications are early in the product development process. Hence, not all elements of the CTD will be known at time of CPRIT application. We encourage applicants to complete as much of the Safety and Efficacy CTD sections as possible and to follow the submission format prescribed.

References for the Development Plan section should be provided as a stand-alone document that will be separately uploaded into CARS. In the interests of brevity include only the most pertinent and current literature. While references will not count toward the Development Plan section page limit, it is essential to be concise and to select only those references relevant to the development plan. **Do not use the references to circumvent Development Plan section page limits by including data analysis or other nonbibliographic material.**

**The development plan submitted must be of sufficient depth and quality to pass rigorous scrutiny by a highly qualified panel of reviewers. To the extent possible, the development plan should be driven by data. In the past, applications that have been scored poorly have been criticized for assuming that assertions could be taken on faith. Convincing data are much preferred. Please avoid redundancy!**

#### **10.4.8. Business Plan**

CPRIT can only provide a portion of the funds required to successfully develop a novel product or service. Companies typically need to raise substantial funds from private sources to fully fund development. Hence, we require companies to provide a business plan that summarizes the rationale for investing in this project. Private investors will seek a financial return on their investment. They will need to be convinced that this project has high investment return potential based on its risk profile. They typically focus on market opportunity size, development path, and key risk issues.

Successful applicants will provide a thoughtful, careful, and succinct rationale explaining why this program is an appropriate investment of CPRIT and private funds. Note that if the company is selected to undergo due diligence, additional information to support the application will be requested at that time. Award applicants will be evaluated based not only on the current status of the components of the business plan but also on whether current weaknesses and gaps are acknowledged and whether plans to address them are outlined.

Please provide an overview of the business rationale for investing in this project. The business rationale overview will be 2 pages maximum. In addition, please provide summaries of the following key development issues with a maximum of 1 page each.

1. **Product and Market:** Provide an overview of the envisioned product and how the product will be administered to patients. Describe the initial market that will be targeted and how the envisioned product will fit within the standard of care, ie, primary therapy, second-line therapy, adjunctive to current therapies, etc. Information on patient populations and market segments is helpful.
2. **Competition and Value Proposition:** Provide an overview of the competitive environment (current and future) and how the envisioned product will compete in the marketplace. Provide information on how the clinical utility (efficacy, safety, cost, etc) of this therapy compares with current and potential future therapies. A clear delineation of competitive advantages and data demonstrating these advantages are helpful.
3. **Clinical and Regulatory Plans:** Provide a detailed regulatory plan, including preclinical and clinical activities and the regulatory pathway for major markets. Please describe how this is driven by interactions with the FDA, if possible. The regulatory plan should include regulatory communications (including all interactions to date with the FDA) and strategy, with clarity provided on regulatory matters and current regulatory strategies.
4. **Pricing and Reimbursement:** Provide an overview of the product cost and anticipated revenue. Cost, price, and reimbursement references from similar products are helpful. An overview of how the company plans to obtain CMS and private insurance reimbursement approval is also helpful.
5. **Commercial Strategy:** Provide an overview of your financial projections and how you will generate a return on this investment. Describe how the company plans to bring the

product to market. Information on physicians to be targeted, sales channels, etc, is helpful. Alternatively, many drugs are acquired by large pharma firms in the late development stages. If the company plans to seek acquisition, please provide an overview of similar transactions.

6. **Risk Analysis:** Describe the specific risks inherent to the product plan and how they would be mitigated. Key risk issues typically include efficacy versus competitors, toxicity, clinical trials, FDA approval, dosage and delivery, CMC synthesis, changing competitive environment, etc.
7. **Funding to Date:** Provide an overview of the funding received, including a list of funding sources and a comprehensive capitalization table that should comprise all parties who have investments, stock, or rights in the company. A template exemplifying an appropriate capitalization table is provided among the application materials. The identities of all parties must be listed. It is not appropriate to list any funding source as anonymous.
8. **Intellectual Property:** Provide a concise discussion of the IP issues related to the project. List any relevant issued patents and patent applications. Please include the titles and dates the patents were issued/filed/published. List any licensing agreements that the company has signed that are relevant to this application.
9. **Key Personnel Located in Texas and Any Key Management Located Outside of Texas:** For each member of the senior management and scientific team, provide a paragraph briefly summarizing his or her present title and position, prior industry experience, education, and any other information considered essential for evaluation of qualifications. Key personnel are the Principal Investigator/Project Director as well as other individuals who contribute to the development or the execution of the project in a substantive, measurable way. *Substantive* means they have a critical role in the overall success of the project and that their absence from the project would have a significant impact on executing the approved scope of the project. *Measurable* means that they devote a specified percentage of time to the project. The indicated time is an obligatory commitment, regardless of whether or not they request salaries or compensation. “Zero percent” effort or “TBD” or “as needed” are not acceptable levels of involvement for those designated as key personnel. While all participants that meet these criteria should

be identified as “key,” it is expected that the number of key personnel will be kept to a minimum.

**The entire Business Plan section shall typically comprise a maximum of 11 pages: a 2-page overview and nine, 1-page key issue summaries. Please avoid redundancy. Note that the section “Funding to Date” above may exceed this 1-page limit if necessary.**

#### **10.4.9. Biographical Sketches of Key Scientific Personnel (8-page maximum)**

Provide a biographical sketch for up to 4 key scientific personnel that describes their education and training, professional experience, awards and honors, and publications relevant to cancer research. Each biographical sketch must not exceed 2 pages. You may use the “Product Development Research Programs: Biographical Sketch” template but are not required to do so. The NIH biographical sketch format is also appropriate. (In addition, information on the members of the senior management and scientific team should be included in the “Key Personnel” section of the Business Plan [see [section 10.4.8](#)]).

#### **10.4.10. Budget**

In preparing the requested budget, applicants should be aware of the following:

- Each award mechanism allows for up to a 3-year funding program with an opportunity for extension after the term expires. **The budget must be aligned with the proposed milestones.** Financial support will be awarded based upon the breadth and nature of the project proposed. Requested funds must be well justified. Funding will be trached and milestone driven.
- CPRIT considers equipment to be items having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit. If awarded, management of your grant will be facilitated if specific equipment is clearly identified in the application using plain language. **Equipment not listed in the applicant’s budget must be specifically approved by CPRIT subsequent to the award contract.**
- Texas law limits the amount of grant funds that may be spent on indirect costs to no more than 5% of the total award amount (5.263% of the direct costs). Guidance regarding indirect cost recovery can be found in CPRIT’s Administrative Rules, which are available at [www.cprit.texas.gov](http://www.cprit.texas.gov).

- The total amount of CPRIT funds allowed for an annual salary of an individual for FY 2020 is \$200,000. In other words, an individual may request salary proportional to the percent effort up to a maximum of \$200,000. Salary amounts in excess of this limit must be paid from matching funds. Salary does not include fringe benefits. CPRIT FY 2020 is from September 1, 2019, through August 31, 2020. Additionally, adjustments of up to a 3% increase in annual salary are permitted for Years 2 and 3 up to the cap of \$200,000. The salary cap may be revised at CPRIT’s discretion.

The Budget section is composed of 4 subtabs that must be completed:

- A. Budget for All Project Personnel:** Provide the name, role, appointment type, percent effort, salary requested, and fringe benefits for all personnel participating on this project. If funding is requested for a role that is not currently occupied, applicant should note “new hire” as name.
- B. Detailed Budget for Year 1:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs in the first year of the project. Direct cost categories include Travel, Equipment, Supplies, Contractual (Subaward/Services Contracts), or Other. Applicants will be required to itemize costs.
- C. Budget for Entire Proposed Period of Performance:** This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Provide the amount requested from CPRIT for direct costs for all subsequent years. Amounts for *Budget Year 1* will be automatically populated based on the information provided on the previous subtabs; namely, *Budget for All Project Personnel* and *Detailed Budget for Year 1*.
- D. Budget Justification:** Please specify your CPRIT-requested funds and other amounts that will comprise the total budget for the project, including the use of matching funds. Please specify each line item from your CPRIT budget as well as other funds (including matching funds). Provide a compelling justification for the budget for each line item of the entire proposed period of support, including salaries and benefits, supplies, equipment, patient care costs, animal care costs, and other expenses. **If travel costs will include out-of-state or international travel, make that clear here.** The budget must be aligned with the proposed milestones.

## 11. AWARD ADMINISTRATION

Texas law requires that CPRIT awards be made by contract between the applicant and CPRIT. CPRIT grant awards are made to entities, not to individuals. Award contract negotiation and execution will commence once the CPRIT Oversight Committee has approved an application for a grant award. CPRIT may require, as a condition of receiving a grant award, that the grant recipient use CPRIT's electronic Grant Management System to exchange, execute, and verify legally binding grant contract documents and grant award reports. Such use shall be in accordance with CPRIT's electronic signature policy as set forth in [chapter 701, section 701.25](#).

Texas law specifies several components that must be addressed by the award contract, including needed compliance and assurance documentation, budgetary review, progress and fiscal monitoring, and terms relating to revenue sharing and IP rights. These contract provisions are specified in CPRIT's Administrative Rules, which are available at [www.cprit.texas.gov](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 to 703.12](#).

Prior to disbursement of grant award funds, the grant recipient organization must demonstrate that it has adopted and enforces a tobacco-free workplace policy consistent with the requirements set forth in CPRIT's Administrative Rules, [chapter 703, section 703.20](#).

CPRIT requires award recipients to submit an annual progress report. These reports summarize the progress made toward the research goals and address plans for the upcoming year. In addition, fiscal reporting, human studies reporting, and vertebrate animal use reporting will be required as appropriate. Continuation of funding is contingent upon the timely receipt of these reports. Failure to provide timely and complete reports may waive reimbursement of grant award costs and may result in termination of the award contract. Forms and instructions will be made available at [www.cprit.texas.gov](http://www.cprit.texas.gov).

**Project Revenue Sharing:** Recipients should also be aware that the funding award contract will include a revenue-sharing agreement, which can be found at [www.cprit.texas.gov](http://www.cprit.texas.gov) and will require CPRIT to have input on any future patents, agreements, or other financial arrangements related to the products, services, or infrastructure supported by the CPRIT investment. These contract provisions are specified in CPRIT's Administrative Rules, which are available at [www.cprit.texas.gov](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 demonstrate that it has appropriate matching funds. For companies receiving an initial CPRIT award, the company must contribute \$1.00 in matching funds for every \$2.00 awarded by CPRIT. CPRIT reserves the right to seek a higher matching funds contribution, ie, the company will contribute \$1.00 in matching funds for every \$1.00 awarded by CPRIT, from a company that has already received a CPRIT award and is approved for a second award. Matching funds need not be in hand when the application is submitted, nor does the entire amount of matching funds for the full 3 years of the project need to be available at the start of the grant. However, the appropriate amount of matching funds for each specific tranche must be obtained before each tranche of CPRIT funds will be released for use. CPRIT funds must, whenever possible, be spent in Texas. A company's matching funds must be targeted for the CPRIT-funded project but may be spent outside of Texas. Grant applicants are advised to consult CPRIT's Administrative Rules, [chapter 703, section 703.11](#), for specific requirements associated with the requirement to demonstrate available funds.

## 13. CONTACT INFORMATION

### 13.1. Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding scientific and product development aspects of applications. **Before contacting the helpdesk, please refer to the *Instructions for Applicants* document, which provides a step-by-step guide on using CARS. In addition, for Frequently Asked Programmatic Questions, please go [here](#) and for Frequently Asked Technical Questions, please go [here](#).**

**Hours of operation:** Monday through Friday, 8 AM to 6 PM central time

**Tel:** 866-941-7146 (toll free in the United States only—international applicants should use the email address below)

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

### 13.2. Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or other funding opportunities, should be directed to the CPRIT Product Development Research Program Senior Manager.

**Tel:** 512-305-7676

**Email:** [Help@CPRITGrants.org](mailto:Help@CPRITGrants.org)

**Website:** [www.cprit.texas.gov](http://www.cprit.texas.gov)

## 14. APPENDIX

### 14.1. Reviewer Evaluation Guidelines for Therapeutics

#### Primary Review Criteria (Scored)

##### Unmet medical need: Target Product Profile (TPP)

- Assuming successful accomplishment of development objectives, as reflected in the target product profile, will the intended product significantly address an unmet medical need in the diagnosis, treatment (including supportive care), prognosis, or prevention of cancer?
- In terms of incidence/prevalence of the patient populations or subpopulations intended to be targeted by the development of this product, what is the extent of the unmet need?

##### Target Validation

- If this is a “targeted” agent, to what extent has the target been validated, eg, through knockdown studies and/or pharmacological intervention?
- Has engagement of the target with the agent been demonstrated by biochemical assay? What is the potency of the agent?
- Are there validated downstream pharmacodynamic (PD) markers of target modulation? How extensive is the in vitro evidence for expected PD effects? Has the agent shown biologically significant modulation of the target in vivo, especially in tumor tissue?
- Is the target uniquely or substantially overexpressed by tumor versus normal cells?
- Does the target represent an activating mutation? If so, has binding of the agent to the target and other activating mutations been characterized?
- Has the company’s demonstration of target validation been externally/independently confirmed?
- Are there known mechanisms of resistance to the modulation of this target? If so, has the company proposed possible mitigation/preemptive approaches, such as combination chemotherapy?

### **Preclinical Characterization: Pharmacodynamic Proof of Concept**

- Considering in vivo preclinical pharmacodynamic characterization and the patient populations or subpopulation(s) representing the initial clinical indication(s) for the drug, what is the clinical relevance of the preclinical models? To elaborate, were in vivo/xenograft studies carried out in cell line-based models or PDX-derived models? In how many such models have studies been carried out? To what extent do these models reflect standard of care (SOC) for refractory versus drug-naive tumors? At the time of treatment initiation, were tumors established and measurable, or was treatment initiated shortly after tumor inoculation?
- Was antitumor activity predominantly growth inhibition or tumor regression? Were sustained complete remissions or “cures” achieved in the majority of animals and models? Were comparisons with optimally dosed SOC agents made? Where the agent is intended to be added to the SOC, is there compelling evidence of in vitro/in vivo synergy with SOC agents?
- Have results of preclinical efficacy studies carried out by the company been externally/independently confirmed?
- Overall, considering clinical relevance and study results, how strong is the preclinical efficacy profile of the agent?
- How strongly does the preclinical pharmacodynamic profile support the clinical efficacy expectations reflected in the TPP?

### **Preclinical Characterization: Safety**

- How extensive is the in vitro and in vivo preclinical safety characterization carried out so far?
- Has the agent undergone CEREP-type screening for interactions with targets with known safety liabilities, eg, CYP 450, hERG?
- Considering potency and target selectivity, what is the potential both for off-target and pharmacologically on-target deleterious effects?
- Can exposures associated with substantial antitumor efficacy/PD effects be achieved safely in vivo?

- Do preclinical pharmacokinetics (PK) studies indicate potential for clinical safety issues, eg, accumulation, variability, lack of dose proportionality?
- Have PK/PD issues been investigated with alternate dosing schedules in order to optimize the therapeutic index of the agent?
- Are there any issues with the distribution or metabolism of the agent?
- Overall, are results of safety characterization carried out so far such that the agent can be considered reasonably derisked from a safety perspective, or are there red flags?  
Alternatively, is the extent of preclinical safety characterization carried out so far insufficient to address this question?

### **Pharmaceutical Properties/Chemistry and Pharmacy**

- In the case of agents intended for oral absorption, are there any issues with water solubility? Do formulation studies indicate the feasibility of oral administration?
- Were Lipinski-type criteria applied during the lead optimization process such that the lead compound has demonstrated properties that make it likely to be an orally active drug in humans?
- Are there any issues with the stability of the drug substance or the drug product?
- Is there scope for further lead optimization through structure-activity studies?
- In the case of biologicals, has a high-quality cell line been developed yet? Are yields acceptable? Does the purification process appear reasonable and scalable?
- Have analytical methods been adequately developed?
- Has the (lead) protein been adequately characterized biochemically, immunogenetically, and biophysically? Has absence of aggregate formation been demonstrated in stability studies?

### **Development Plan/Regulatory Aspects**

- Are development proposals scientifically rational and sufficiently comprehensive considering development efforts and results to date?
- Does the applicant demonstrate adequate familiarity with pertaining regulatory guidelines in major jurisdictions (United States/European Union)? Do development proposals reflect specific regulatory authority input; eg, from pre-IND interactions? Alternatively, has regulatory authority interaction been insufficient so far?

- In the case of clinical studies, are patient populations adequately described and consistent with those representing the initial target indication(s)?
- Are efficacy end points appropriate for study designs? Is the sample size statistically adequately justified in terms of the target effect size?
- In the case of potentially pivotal clinical trials, moreover, are the proposed primary efficacy end points and target effect sizes consistent with regulatory precedence?
- Considering target indication prevalence, will the agent qualify for orphan drug designation? If so, does the applicant intend to apply for this?
- Has the applicant demonstrated reasonable diligence in researching patient availability, competitive clinical trial activity, and recruitment issues such that patient enrollment projections can be considered realistic?
- Will the proposed programs advance development of the agent to commercially significant milestone(s), such as might attract either partner interest or the raising of further development funding?
- Are development milestones clear and adequately described? Is the overall project timeline realistic?

### **Competitive Analysis**

- Has the applicant carried out a comprehensive and realistic analysis of the likely strengths and weaknesses of the agent compared to clinically relevant competitive products, including potentially competitive agents in development?
- Are the applicant's assumptions regarding the strengths and weaknesses of the agent relative to likely competitors reasonable, considering the preclinical efficacy and safety data on the agent generated so far?

### **Intellectual Property/Freedom to Operate**

- Have IP and freedom-to-operate aspects been addressed in the application?
- Considering patent type (Composition of Matter/Formulation/Manufacturing Process/Use) and duration of patent life, how strong is the IP?
- Are there opportunities for meaningful patent life extension?
- Has the applicant secured appropriate licenses conferring freedom to operate?

## **Chemistry, Manufacturing, and Controls (CMC)**

- How advanced is CMC and manufacturing development?
- Are there any sourcing issues?
- Has the applicant demonstrated the likelihood that the product can be manufactured at commercial scale and with a reasonable cost of goods?
- Are there significant technical difficulties within CMC/manufacturing scale up still to be addressed?

## **Business/Commercial Aspects**

- Does the applicant need to raise further funds for the CPRIT matching requirement? In this case, how realistic are the applicant's assumptions about a successful fund-raising campaign? Does the applicant have a track record of success in raising development funding?
- Does the applicant indicate intentions for attracting a development partner or for outright acquisition? Do the development milestones and assumed results of the research program of studies reasonably support such expectations?
- Considering the initial clinical indications for the product, its competitive strengths and weaknesses, and pricing/reimbursement objectives, are market/segment penetration and sales and profitability projections reasonable?
- Has the applicant articulated a coherent plan for using results on clinical end points in pivotal trials as a basis for cost-effectiveness analyses to support pricing and reimbursement?

## **Management Team**

- Does the management team have the appropriate level of experience and track record of relevant accomplishments to execute the development and commercialization strategy?
- Does the company have experienced and appropriately accomplished in-house personnel in such key areas as translational research, clinical development, regulatory affairs, and CMC/manufacturing? If not, are there plans to address such deficiencies?
- Has the applicant demonstrated appropriate engagement of outside development expertise through, for example, a scientific advisory board, individual consultantships, and regulatory authority interactions?

## **Secondary Review Criteria (Unscored)**

### **Budget and Duration of Support**

- Are the budget and duration of support appropriate for the program of studies described in the application?
- Is there sufficient clarity in the budget proposal as to how funds will be expended?
- Is there sufficient clarity in the budget proposal as to the spending of funds in Texas?
- Do plans reflect a substantial commitment to Texas? Is it clear that no CPRIT funds will be sent out of Texas to a corporate headquarters?

## 14.2. Reviewer Evaluation Guidelines for Medical Devices and Diagnostics

### Primary Review Criteria (Scored)

#### Unmet Medical Need

- Assuming successful accomplishment of development objectives, will the intended product significantly address an unmet medical need in the diagnosis, treatment (including supportive care), prognosis, or prevention of cancer?
- In terms of incidence/prevalence of the patient populations or subpopulations intended to be targeted by the development of this product, what is the extent of the unmet need?

#### Product Validation

- Technical Validation: Has the product or technology been successfully validated, ie, prototyped, built and tested in ex vivo, animal, or clinical setting?
- Have biological proof of principle and product mechanism of action been demonstrated?
- Have efficacy and safety in an accepted in vitro or animal model been demonstrated?
- Clinical Validation: Are clinical trials required to demonstrate product performance? If so, have they been planned or conducted?
- Biological Risk: What are the risks to the patients, eg, toxicology, biological, interactions with other therapies?

#### Production/Manufacturing

- Has the applicant demonstrated the likelihood that the product can be manufactured at commercial scale and with a reasonable cost of goods?
- How advanced is manufacturing development?
- Are there any sourcing issues?

#### Intellectual Property/Freedom to Operate

- Have barriers to entry been identified? Has a route to patentability been mapped out, eg, independent patent, first-mover advantage, unique knowhow, etc?
- Does the company have issued patents? If not, have they conducted freedom to operate and patentability analysis?
- Considering patent type (Composition of Matter/ Formulation/Manufacturing Process/Use), and duration of patent life, how strong is the IP?

- Are there opportunities for meaningful patent life extension?
- Has the applicant secured appropriate licenses conferring freedom to operate, if required?

### **Market Opportunity**

- Does the product address a clearly defined unmet need; lack of available therapy, poor efficacy, side effects, lack of available diagnostic, safety problems, cost reduction, enhanced convenience?
- Are target indication and market clearly defined?
- Is channel to market available? Does the company understand the entire value chain and all constituencies involved in procuring and utilizing the product?
- Does the company understand the clinical pathway that leads to utilizing the product?
- Is market opportunity of significant size and lucrative enough to justify investment?
- Has the applicant demonstrated time or cost savings?
- How does product fit with existing “ecosystem”; ie, are the benefits provided worth the time and cost of implementing the new approach?

### **Competition**

- Is this a “Whole Product,” ie, a complete product or service sold to a defined customer that provides a defined value proposition?
- Is value proposition clearly delineated, ie, improve efficacy, improve safety, reduce cost, or improve convenience)?
- Has the company demonstrated its value proposition versus competition?
- Has the company conducted a competitive analysis? Does it provide a comprehensive, realistic assessment of strengths and weakness versus competition based on the data generated to date?

### **Development Plan/Regulatory Aspects**

- Have a comprehensive development plan and market entry strategy been developed?  
How realistic are these plans?
- Has determination of FDA-defined device classification been completed? Is the clinical and regulatory pathway well understood and feasible?

## **Management Team**

- Does the management team have the appropriate level of experience and track record of relevant accomplishments to execute the development and commercialization strategy?
- Does the company have experienced and appropriately accomplished in house personnel in such key areas as product engineering, clinical development, regulatory affairs, manufacturing, etc? If not, are there plans to address such deficiencies?
- Has the applicant demonstrated appropriate engagement of outside development expertise through, eg, a scientific advisory board, individual consultantships, and regulatory authority interactions?

## **Business/Commercial Aspects**

- Considering the initial clinical indications for the product, its competitive strengths and weaknesses, and pricing/reimbursement objectives, are market/segment penetration and sales and profitability projections reasonable?
- Has the applicant articulated a coherent plan for using results on clinical end points in pivotal trials as a basis for cost-effectiveness analyses to support pricing and reimbursement?
- Has the company clearly anticipated pricing strategy and reimbursement environment?
- Is the projected return on investment congruent with investment opportunity and risks?

## **Funding**

- Is investor interest in this sector sufficient to fund the company through profitability?
- Does the applicant already have available funds to meet the CPRIT matching requirement, or do they need to raise additional funds? In this case, how realistic are assumptions about a successful fundraising campaign? Does the applicant have a track record of success in raising development funding?
- Have likely acquirers been identified by the applicant?
- Does the company have the resources to support required activities while fundraising?
- Does the applicant indicate intentions for attracting a development partner or for outright acquisition? Do the development milestones and assumed results of the research program reasonably support such expectations?

## **Secondary Review Criteria (Unscored)**

### **Budget and Duration of Support**

- Are the budget and duration of support appropriate for the program of studies described in the application?
- Is there sufficient clarity in the budget proposal as to how funds will be expended?
- Is there sufficient clarity in the budget proposal as to the spending of funds in Texas?
- Do plans reflect a substantial commitment to Texas? Does the applicant demonstrate an understanding of the Texas spending requirement for CPRIT funds?

# Third Party Observer Reports

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## **Cancer Prevention and Research Institute of Texas (CPRIT)** **20.2 Product Development Research-Product Development** **Panel-1 (20.2 PDR PDP-1) Observation Report**

Report No. 2020-03-23 20.2\_PDR\_PDP-1  
Program Name: Product Development Research  
Panel Name: 20.2 Product Development Research Product Development Panel-1 (20.2\_PDR\_PDP-1)  
Panel Date: 03-23-2020  
Report Date: 03-31-2020

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the 20.2 Product Development Research Product Development Panel-1 (20.2\_PDR\_PDP-1) meeting. The meeting was chaired by Jack Geltosky and was conducted via teleconference on March 23, 2020.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observer(s) participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Eight (8) applications were discussed and six (6) applications were not discussed
- Panelists: One (1) panel chair, ten (10) expert reviewers and two (2) advocate 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: Three (3)
- 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.

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 'M' followed by a horizontal line that tapers 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)** **20.2 Product Development Research Product Development** **Panel-2 (20.2 PDR PDP-2) Observation Report**

Report No. 2020-03-24 20.2\_PDR\_PDP-2  
Program Name: Product Development Research  
Panel Name: 20.2 Product Development Research Product Development Panel-2  
(20.2\_PDR\_PDP-2)  
Panel Date: 03-24-2020  
Report Date: 03-31-2020

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the 20.2 Product Development Research Product Development Panel-2 (20.2\_PDR\_PDP-2). The meeting was chaired by David Shoemaker and was conducted via teleconference on March 24, 2020.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observer(s) participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Nine (9) applications were discussed and five (5) applications were not discussed
- Panelists: One (1) panel chair, ten (10) expert reviewers and two (2) advocate 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: Three (3)
- 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.

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.

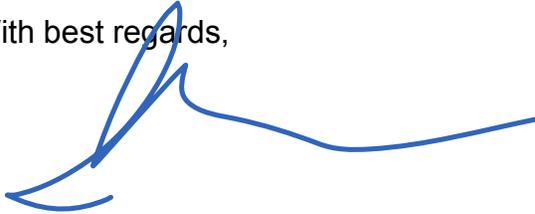
### **CONCLUSION**

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 read 'Mara Ash', with a long horizontal flourish 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)**  
**20.2 Product Development Research Product Development**  
**Panel - 1 Meeting (20.2 PDR PDP-1)**  
**Observation Report**

Report No. 2020-04-21\_20.2\_PDR\_PDP-1  
Program Name: Product Development Research  
Panel Name: 20.2 Product Development Research Product Development Panel -  
1 Meeting (20.2\_PDR\_PDP-1)  
Panel Date: 04-21-2020  
Report Date: 05-21-2020

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the 20.2 Product Development Research Product Development Panel - 1 Meeting (20.2\_PDR\_PDP-1). The meeting was chaired by Jack Geltosky and conducted via teleconference on April 21, 2020.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

## **SUMMARY OF OBSERVATION RESULTS**

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: Three (3) applications were discussed and eleven (11) were not discussed
- Panelists: One (1) panel chair, ten (10) expert reviewers and two (2) advocate reviewers
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Nine (9)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Four (4)
- 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. Our observations are limited to the information available.

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)**  
**20.2 Product Development Research Product Development**  
**Panel - 2 Meeting (20.2 PDR PDP-2)**  
**Observation Report**

Report No. 2020-04-23\_20.2\_PDR\_PDP-2  
Program Name: Product Development Research  
Panel Name: 20.2 Product Development Research Product Development Panel -  
2 Meeting (20.2\_PDR\_PDP-2)  
Panel Date: 04-23-2020 and 04-24-2020  
Report Date: 05-07-2020

### ***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

### ***INTRODUCTION***

The subject of this report is the 20.2 Product Development Research Product Development Panel - 2 Meeting (20.2\_PDR\_PDP-2). The meeting was chaired by David Shoemaker and conducted via teleconference on April 23, 2020 and April 24, 2020.

### ***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed)
- CPRIT program staff participation at meetings is limited to offering general points of information

- CPRIT program staff do not engage in the panel's discussion on the merits of applications, and
- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

One (1) BFS independent observer(s) participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Five (5) applications were discussed and nine (9) were not discussed
- Panelists: One (1) panel chair and ten (10) expert reviewers and two (2) advocate reviewers were present and one (1) expert reviewer was not present
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Six (6)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Four (4) on day 1, Five (5) on day 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**

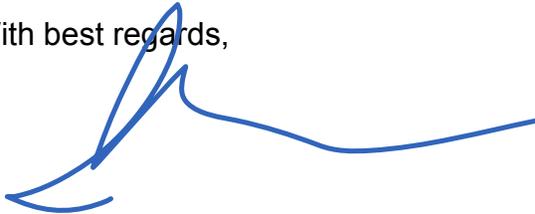
In conclusion, we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report.

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 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)**  
**20. 2 Product Development Review-Due Diligence Panel**  
**(PDR DD 20.2)**  
**Observation Report**

Report No. 2020-07-06 PDR\_DD\_20.2  
Program Name: Product Development Research  
Panel Name: 20.2 Product Development Due Diligence Panel (PDR\_DD\_20.2)  
Panel Date: 07-06-2020  
Report Date: 08-03-2020 Revised

***BACKGROUND***

As part of CPRIT's ongoing emphasis on continuous improvement in its grants review/management processes and to ensure panel discussions are limited to the merits of the applications and focused on established evaluation criteria, CPRIT continues to engage a third-party independent observer at all in-person and telephone conference peer review meetings. CPRIT has authorized an independent party to function as a neutral third-party observer and has engaged Business and Financial Management Solutions, LLC (BFS) for that purpose.

***INTRODUCTION***

The subject of this report is the 20.2 Product Development Due Diligence Panel (PDR\_DD\_20.2). The meeting was chaired by Jack Geltosky and David Shoemaker and was conducted via teleconference on July 6, 2020.

***PANEL OBSERVATION OBJECTIVES AND SCOPE***

The third-party observation engagement was limited to observation of the following objectives:

- CPRIT's established procedure for panelists who have declared a conflict of interest is followed during the meeting (e.g., reviewers hang up from the teleconference or leave the room when an application with which there is a conflict is discussed);
- CPRIT program staff participation at meetings is limited to offering general points of information;
- CPRIT program staff do not engage in the panel's discussion on the merits of applications; and

- The panel focused on the established scoring criteria and/or making recommendations.

### **SUMMARY OF OBSERVATION RESULTS**

Two (2) BFS independent observer(s) participated in observing the meeting. GDIT, CPRIT's contracted third-party grant application administrator, facilitated the meeting.

The independent observers noted the following during the meeting:

- Number (#) of applications: Four (4) applications were discussed
- Panelists: Seven (7) PDRC members and Three (3) expert reviewers
- ICON employees: Six (6)
- IP Attorneys: Three (3)
- Panelists' discussions were limited to the application evaluation criteria
- GDIT staff employees: Two (2)
- GDIT staff did not participate in discussions concerning the merits of applications
- CPRIT staff employees: Three (3)
- CPRIT program staff participation was limited to reviewing and clarifying policies, and answering procedural questions

There 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.

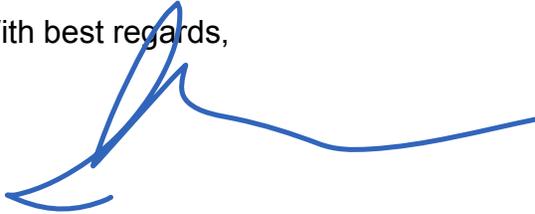
### **CONCLUSION**

In conclusion; we observed that the activities of the meeting identified herein were limited to the identified objectives noted earlier in this report. Our observations are limited to the information available.

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 read 'Mara Ash', with a long horizontal flourish 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

# Conflicts of Interest Disclosure

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## Conflicts of Interest Disclosure

### CPRIT Product Development Research Cycle 20.2 Applications

#### Product Development Research Cycle 20.2 Applications Announced at the August 19, 2020, Oversight Committee Meeting

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Research Cycle 20.2 include *Seed Awards for Product Development Research*, *Company Relocation Product Development Awards*; and *Texas Company Product Development Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by General Dynamics Information Technology, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant/PI	Organization/Company	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
DP200094	Michael Curran	Immunogenesis, Inc.	Kristine Swiderek
<b>Applications not considered by the PIC or Oversight Committee</b>			
DP200063*	Johan Louw	Immunicom	R.obert Wilkins
DP200083*	Jeff Levine	Advanced Scanners, Inc	Mara Ginsberg
DP200074*	Christine Clarke	Tachyon Therapeutics, Inc.	Phyllis Gardner

\* Not discussed

# **T.A.C. Section 702.19 Waiver**

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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER  
**SUBJECT:** T.A.C. § 702.19 WAIVER FOR THE CPRIT PRODUCT DEVELOPMENT REVIEW COUNCIL  
**DATE:** MAY 11, 2020

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This is to notify the Oversight Committee that I have granted a waiver from the general prohibition against communicating directly with grant applicants to the members of the Product Development Review Council (PDRC) pursuant to the authority provided in T.A.C. § 702.19(e). The waiver is effective for the following individuals in product development review cycle 20.2: Jack Geltosky, David Shoemaker, Colin Turnbull, Roy Cosan, Neil Spector, Kelly Bolton, Ginette Serrero, and Kristine Swiderek, and limited to communications with applicants currently undergoing due diligence as described in this notice. I granted a similar waiver for PDRC members during review cycle 20.1. No Oversight Committee action related to this waiver is necessary.

CPRIT administrative rule § 702.19 prohibits substantive communication between a grant applicant and a member of the review panel, the Program Integration Committee (PIC), or the Oversight Committee while the application is pending a final decision. CPRIT intends the communication restriction to prevent even the appearance of unequal treatment during the grant review process. However, CPRIT's administrative rule recognizes that there may be a scenario where the need for a reviewer to communicate directly with an applicant during the review process outweighs the reasoning behind the general prohibition. In that case, CPRIT's rule authorizes the Chief Executive Officer to grant a waiver and notify the Oversight Committee of the waiver and its justification.

In this case, the communication waiver is necessary because CPRIT modified the review process for product development applications to improve the way business due diligence is conducted in cycle 20.2 by ICON, CPRIT's third-party vendor. ICON develops its final business due diligence report on each company after gathering information from company representatives about various issues raised by the review panels during peer review. CPRIT first utilized this enhanced process during review cycle 20.1. PDRC members evaluate the final ICON reports when making award recommendations. As with cycle 20.1, to improve the information-gathering portion of the due diligence process for review cycle 20.2, CPRIT has modified the process to assign at least one PDRC member to participate in the informational call between ICON and the applicant so that the reviewer can seek additional clarification, if necessary, on behalf of the review panel regarding points raised during the initial appraisal of the application.

Granting the waiver does not result in unfair or unequal treatment for any application. Although the assigned PDRC member may communicate directly with an applicant during the ICON call to ask follow-up questions or refine additional points, every application undergoing due diligence review will be subject to the same process. CPRIT will make ICON's final due diligence report available to the full PDRC and CPRIT will include documentation of the waiver in the publicly available grant records for product development research awards in review cycle 20.2.

# High Level Summary of Due Diligence

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TXCO

## High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommended that the Program Integration Committee and the Oversight Committee approve the following Texas Company Product Development Research grant award:

- OncoNano Medicine, Inc. for \$9,965,273. The PDRC did not recommend any contract contingencies for this award.

OncoNano Medicine, Inc.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

OncoNano Medicine, Inc. is a spinout company of the University of Texas Southwestern Medical School and is headquartered in Southlake, Texas. The company has applied for CPRIT funding to support the development of a novel imaging agent known as ONM-100 for use in intraoperative surgical resection of solid tumors. The technology aims to help providers visualize tumors that they may have otherwise missed and is focused on the identification of metastatic disease in the peritoneum, lymph nodes and pleural surfaces resulting from gastric, colorectal, prostate, ovarian, lung, and breast cancers. Currently, there are very few tools or technologies that allow doctors to visualize small tumors that have metastasized, and therefore this technology addresses a critical unmet need for cancer patients.

The identification of metastatic disease is a major unmet need in oncology. Metastatic disease represents 45-50% of all cancer diagnoses and is responsible for 90% of patient deaths. Improvement in visualization of metastatic disease, both preoperatively and during surgery, is critical for initial diagnosis, accurate staging, therapeutic choice and efficacy – and is closely tied to patient survival. OncoNano Medicine's grant proposal aims to extend the use of ONM-100 for identification of metastatic disease in the peritoneum, lymph nodes and pleural surfaces – areas that comprise 20% of metastatic disease and result from primary tumors originating from numerous cancer types.

The company seeks CPRIT funding to support drug manufacturing activities, nonclinical studies, and initiation of a Phase 2 clinical trial.

Select reviewer comments summarize the significance and impact as follows:

- *The real-time identification of metastatic disease is a major unmet need in oncology, specifically the ability to visualize it during surgical dissection in the peritoneum, lymph nodes, and pleural surfaces.*

- *The SOC to detect disease preoperatively is oftentimes woefully inadequate. The enhanced sensitivity and specificity of ONM-100 should be an exciting advance for surgeons.*
- *Clinical and regulatory plans are realistic; further, the applicant has a proven track record with CPRIT and has demonstrated that it can deliver successfully and as projected on preclinical, clinical, and regulatory milestones.*
- *The management team is strong and has a track record with CPRIT, and the market opportunity is large.*

TXCO

## High Level Summary of CPRIT Product Development Diligence and Recommendation

The Product Development Review Council (PDRC) recommended that the Program Integration Committee and the Oversight Committee approve the following Texas Company Product Development Research grant award:

- ImmunoGenesis, Inc. for \$15,455,860. The PDRC recommended contract contingencies for this award.

ImmunoGenesis, Inc.

The Product Development Review Council (PDRC), upon its review of the independent business and intellectual property due diligence performed on this application, has recommended to the Program Integration Committee that this application is suitable for CPRIT funding.

ImmunoGenesis, Inc. is a spinout company of MD Anderson Cancer Center (MDACC) and is based in Houston, TX. In the last decade, checkpoint inhibitor immunotherapy drugs have revolutionized therapy for many cancers, and new combination therapies continue to evolve. However, only a minority (~45%) of cancer patients are eligible to receive these drugs and among those less than 20% achieve a complete or even partial response. ImmunoGenesis' technology is a new type of immunotherapy that aims to benefit the majority (55%) of patients ineligible to receive current drugs, and also has the potential to improve responses in existing indications.

Antibody drugs which block engagement of the T cell co-inhibitory receptor programmed cell death-1 (PD-1) or its cognate ligand programmed death-1 ligand 1 (PD-L1) are the cornerstone of immunotherapy's emergence as a key pillar of modern oncology. For patients with "hot", immune infiltrated, cancers, PD-1 blockade offers moderate to high frequencies of objective clinical responses and the chance of durable lifelong cures. The majority of cancer patients, however, present with "cold" tumors with low frequencies of immune-targetable mutations and little or no immune infiltration. In this setting, PD-1 blockade benefits less than 5% of patients and there are no FDA-approved indications excepting the small minority of patients with underlying mismatch-repair deficiencies. Even across the "hot" and "warm" cancers for which there are FDA-approved PD-(L)1 indications, the response rate to PD-1 blockade remains under 25%. Thus, a critical need exists for immunotherapies that both provide more consistent benefit for patients with immune-infiltrated tumors, and also mediate significant clinical responses against "cold" cancers.

ImmunoGenesis, Inc. proposes to use CPRIT funding to support the development of a first-in-class immunotherapy drug known as IMG-001. The CPRIT funding will support drug manufacturing activities, nonclinical studies and a Phase 1 clinical trial. The technology addresses all cancer types.

Select reviewer comments summarize the significance and impact as follows:

- *This unique constellation of biologic effects, compellingly demonstrated in preclinical studies, is plausibly considered to generate not only more profound tumor antigen T-cell function but also to reverse TME immunosuppression. Taken together, these properties hold the promise of an advance in the current state of the art, with the potential for better efficacy in both immunologically cold and hot tumors.*
- *This is a strong application by a competent management team for a highly innovative and promising approach to the challenge of raising the efficacy of immune checkpoint inhibitors in the treatment of solid tumors.*
- *This immunoinhibitory pathway is extremely well validated, with a number of highly successful products on the market aimed at disrupting this inhibition for therapeutic benefit.*
- *The company has done an excellent job of characterizing the agent biochemically; they know and understand how this agent works.*

# **De-Identified Overall Evaluation Scores**

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# Texas Company Product Development Awards

Product Development Research Cycle 20.2

Application ID	Final Overall Evaluation Score
DP200081*	2.1
DP200094*	2.4
ba	4.4
bb	5.3
bc	6.0
bd	6.5
be	7.8

\* Recommended for CPRIT award

# **Final Overall Evaluation Scores and Rank Order Scores**

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July 22, 2020

Donald "Dee" Margo  
Oversight Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [dee@deemargo.com](mailto:dee@deemargo.com)  
Via email to Dee Margo's assistant, Olivia Zepeda: [ozepeda@deemargo.com](mailto:ozepeda@deemargo.com)

Wayne R. Roberts  
Program Integration Committee Chair  
Cancer Prevention and Research Institute of Texas  
Via email to [wroberts@cprit.texas.gov](mailto:wroberts@cprit.texas.gov)

Dear Dee and Wayne,

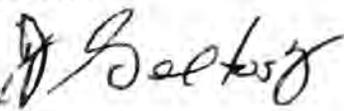
On behalf of the Product Development Review Council (PDRC), I am pleased to provide the PDRC's recommendation for CPRIT's Product Development Research 20.2 grant award cycle. The PDRC convened on July 6, 2020 and recommends that the Program Integration Committee and the Oversight Committee approve Product Development Research grant awards for the following applicants: OncoNano Medicine and ImmunoGenesis, Inc. The attached table reflects the ranked award recommendations for the two grant applications.

The PDRC did not make any changes to the proposed goals and objectives, timelines or budgets for the two projects recommended for funding. However, one of these recommendations is contingent on the review of items associated with the following:

- Execution of the CPRIT award contract for ImmunoGenesis, Inc. is contingent on the company hiring a CMO and CSO and funds must be withheld until the PDRC can review the pre-IND minutes from the FDA and until the IND is cleared.

Each of the companies included in the PDRC's recommendation reflects 50+ hours of individual review and panel discussion of the applicants' proposals as well as the PDRC's review of the due diligence reports. Our recommendations are consistent with one or more of the priorities set by the Oversight Committee for product development grant award funding. These standards include the potential of these companies to (1) bring important products to market; (2) promote the translation of research at Texas institutions into new companies able to compete in the marketplace; and (3) develop tools and technologies of special relevance to cancer research, treatment and prevention.

Sincerely,

  
/JG/

Jack Geltosky, PhD  
Chair, CPRIT Product Development Review Council

**Attachment**

**Product Development Review Council Award Recommendations**

**FY 2020 Cycle 2**

<b>Rank</b>	<b>Application ID</b>	<b>Mechanism (Cycle)</b>	<b>Company Name</b>	<b>Project</b>	<b>Maximum Recommended Budget</b>	<b>Overall Score*</b>
1	DP200081	TXCO (20.2)	OncoNano Medicine	Image-guided Surgical Detection of Metastatic Disease to the Peritoneum, Lymph Nodes and Pleural Surfaces	\$ 9,965,273	2.1
2	DP200094	TXCO (20.2)	ImmunoGenesis, Inc.	Cytoreductive bispecific PD-L1/PD-L2 antibodies active across immune "hot" and "cold" cancers	\$ 15,455,860	2.4
				Total	\$25,421,133	

\* average reviewer score from videoconference "in-person" peer review



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application DP200081**  
**Texas Company Product Development Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Texas Company Product Development Awards Request for Applications (RFA)*. CPRIT received seven applications in response to this RFA. This application was assigned to the product development panel 1 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On May 11, 2020, I notified the Oversight Committee members that I granted members of the Product Development Review Council (PDRC) a waiver from the general prohibition against communicating with product development cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

The Oversight Committee approved a previous grant award (DP190066) for this applicant, OncoNano Medicine, on August 21, 2019. As of August 4, 2020, the date of the PIC meeting, the DP190066 grant contract has not yet been executed. Therefore, the PIC recommended this current grant application, DP200081, contingent on the successful execution of the prior award contract.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”



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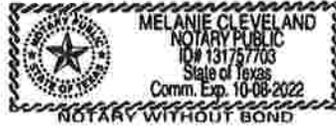
Wayne R. Roberts,  
CEO, Cancer Prevention and Research Institute of Texas

State of Texas  
County of Travis

SWORN to and SUBSCRIBED before me, the undersigned authority, on  
the 4 day of August, 2020,  
by WAYNE R. ROBERTS.



Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Product Development  
**MECHANISM:** Texas Company Product Development Research Awards  
**APPLICATION ID:** DP200081  
**APPLICATION TITLE:** Image-guided Surgical Detection of Metastatic Disease to the Peritoneum, Lymph Nodes and Pleural Surfaces  
**APPLICANT NAME:** Srinivasan, Ravi  
**ORGANIZATION:** OncoNano Medicine  
**PANEL NAME:** Product Development Panel-1

Category	Compliance Requirement	Information	Attestation Date	
<b>Pre-Receipt</b>	<b>RFA approved by CPDO</b>	<b>11/15/2019</b>	05/11/2020	
	<b>RFA published in Texas.gov eGrants</b>	<b>11/20/2019</b>	05/11/2020	
	<b>CPRIT Application Receipt System (CARS) opened</b>	<b>12/04/2019</b>	05/11/2020	
	<b>CPRIT Application Receipt System (CARS) closed</b>	<b>01/29/2020</b>	05/11/2020	
	<b>Date application submitted</b>	<b>01/29/2020</b>	06/11/2020	
	<b>Method of submission</b>	<b>CARS</b>	06/11/2020	
	<b>Within receipt period</b>	<b>YES</b>	06/11/2020	
	<b>Request for extension to submit application after CARS closed</b>	<b>NA</b>	06/11/2020	
	<b>Request for extension for late application submission accepted</b>	<b>NA</b>	06/11/2020	
	<b>Submission of application fee</b>	<b>YES</b>	02/20/2020	
	<b>Receipt, Referral, and Assignment</b>	<b>Administrative review notification</b>	<b>02/14/2020</b>	06/11/2020
		<b>Donation(s) made to CPRIT / foundation</b>	<b>NO</b>	06/11/2020
<b>Assigned to primary reviewers</b>		<b>02/24/2020</b>	06/11/2020	
<b>Applicant notified of review panel assignment</b>		<b>02/12/2020</b>	05/15/2020	
<b>Primary Reviewer 1 COI signed</b>		<b>02/12/2020</b>	06/11/2020	
<b>Primary (Advocate) Reviewer 2 COI signed</b>		<b>02/12/2020</b>	06/11/2020	
<b>Primary Reviewer 3 COI signed</b>		<b>02/18/2020</b>	06/11/2020	
<b>Primary Reviewer 4 COI signed</b>		<b>02/12/2020</b>	06/11/2020	
<b>Screening Teleconference Meeting</b>	<b>Primary Reviewer 1 critique submitted</b>	<b>03/03/2020</b>	06/11/2020	
	<b>Primary (Advocate) Reviewer 2 critique submitted</b>	<b>03/17/2020</b>	06/11/2020	
	<b>Primary Reviewer 3 critique submitted</b>	<b>03/17/2020</b>	06/11/2020	
	<b>Primary Reviewer 4 critique submitted</b>	<b>03/17/2020</b>	06/11/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/11/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/11/2020	
	<b>Screening Teleconference Meeting</b>	<b>03/23/2020</b>	05/15/2020	
	<b>Post-Screening Teleconference score report</b>	<b>03/24/2020</b>	05/15/2020	
	<b>Post review statements signed</b>	<b>04/29/2020</b>	05/15/2020	
	<b>Third Party Observer Report</b>	<b>03/31/2020</b>	05/15/2020	
<b>Peer Review Meeting</b>	<b>Recommended for On-Site Meeting</b>	<b>YES</b>	06/11/2020	
	<b>COI indicated by non-primary reviewer</b>	<b>NONE</b>	06/11/2020	
	<b>COI recused from participation</b>	<b>NA</b>	06/11/2020	
	<b>Peer Review Meeting</b>	<b>04/21/2020</b>	06/11/2020	
	<b>Post review statements signed</b>	<b>04/23/2020</b>	06/11/2020	
	<b>Third Party Observer Report</b>	<b>05/21/2020</b>	07/14/2020	
	<b>Score report delivered to CPDO</b>	<b>05/01/2020</b>	06/11/2020	
	<b>Recommended for due diligence and IP review</b>	<b>YES</b>	06/11/2020	
<b>Due Diligence and IP Review</b>	<b>Final due diligence review submitted to PDRC</b>	<b>06/11/2020</b>	07/14/2020	
	<b>Intellectual Property conflict check</b>	<b>05/05/2020</b>	07/07/2020	
	<b>Final intellectual property review submitted</b>	<b>06/08/2020</b>	07/07/2020	
<b>Final PDRC Recommendation</b>	<b>COI indicated by PDRC member</b>	<b>NONE</b>	07/14/2020	
	<b>COI recused from participation</b>	<b>NA</b>	07/14/2020	
	<b>Due Diligence Evaluation Meeting / PDRC Meeting</b>	<b>07/06/2020</b>	07/14/2020	
	<b>Third Party Observer Report</b>	<b>07/15/2020</b>	07/16/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	07/14/2020	
	<b>PDRC Chair Notification to PIC and OC</b>	<b>07/22/2020</b>	07/23/2020	
<b>PIC Review</b>	<b>COI indicated by PIC member</b>	<b>None</b>	08/04/2020	
	<b>COI recused from participation</b>	<b>NA</b>	08/04/2020	
	<b>PIC Review Meeting</b>	<b>08/04/2020</b>	08/04/2020	
	<b>Recommended for grant award</b>	<b>YES</b>	08/04/2020	
<b>Oversight Committee Approval</b>	<b>CEO Notification to Oversight Committee</b>	<b>NA</b>		
	<b>COI Indicated by Oversight Committee member</b>	<b>NA</b>		
	<b>COI Recused from participation</b>	<b>NA</b>		
	<b>Donation(s) made to CPRIT / foundation</b>	<b>NA</b>		
	<b>Presented to CPRIT Oversight Committee</b>	<b>NA</b>		
	<b>Award approved by Oversight Committee</b>	<b>NA</b>		
	<b>Authority to advance funds requested</b>	<b>NA</b>		
<b>Advance authority approved by Oversight Committee</b>	<b>NA</b>			



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CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

**CEO AFFIDAVIT**  
**Application DP200094**  
**Texas Company Product Development Awards**

THE STATE OF TEXAS

COUNTY OF TRAVIS

BEFORE ME, the undersigned authority, on this day personally appeared Wayne R. Roberts, who swore or affirmed to tell the truth, and stated as follows:

“My name is Wayne R. Roberts, the Chief Executive Officer (CEO) of the Cancer Prevention and Research Institute of Texas (CPRIT). I am of sound mind and capable of making this sworn statement. I submit this affidavit pursuant to the legal requirement imposed by V.T.C.A., Health & Safety Code § 102.251(c).

My affidavit addresses the grant review process for the application stated above that is recommended for a CPRIT grant award by the Program Integration Committee (PIC). This application was submitted pursuant to *Texas Company Product Development Awards Request for Applications (RFA)*. CPRIT received seven applications in response to this RFA. This application was assigned to the product development panel 2 for review. A preliminary evaluation process as described by 25 T.A.C. § 703.6(e)(1) was not used for applications in this cycle.

CPRIT staff and CPRIT’s third-party grants management vendor have recorded information and prepared documents during the course of their employment that are related to CPRIT’s grant review process described by Health & Safety Code Chapter 102. I have reviewed the information prepared by CPRIT staff and CPRIT’s third-party grants management vendor in my capacity as CPRIT’s CEO to prepare this affidavit. Some information (“CEO Affidavit-Supporting Information”) is applicable to all applications recommended for awards submitted pursuant to this RFA. The information listed below has been compiled as one packet and is incorporated herein by reference:

- The applicable Request for Applications (RFA) for this grant cycle
- An overview of the conflict of interest process, including any conflict of interest waivers granted
- The third party observer report(s) documenting that CPRIT’s grant review processes were followed by the review panel evaluating the applications in this grant cycle
- A de-identified list of the overall evaluation scores for applications submitted pursuant to the applicable RFA for this grant cycle

- A final overall evaluation score and rank order score submitted by the SRPP committees for the grant applications recommended by the PIC in this cycle

On May 11, 2020, I notified the Oversight Committee members that I granted members of the Product Development Review Council (PDRC) a waiver from the general prohibition against communicating with product development cycle 20.2 grant applicants, pursuant to Texas Administrative Code § 702.19(e). A copy of the waiver is included in the “CEO Affidavit-Supporting Information” packet.

In addition to the CEO Affidavit-Supporting Information that is applicable to all applications submitted pursuant to the applicable RFA and recommended for grant awards this cycle, I have also reviewed the application’s grant pedigree. The grant pedigree for the application listed above has been attached to this affidavit. The application pedigree provides an overview of the conflict of interest process applicable to this application, including any conflicts of interest reported by the review panel or by the PIC. I note that the following PIC members have approved conflict of interest waivers on file for FY2020: Dr. John Hellerstedt, Department of State Health Services Commissioner, and Dr. James Willson, Chief Scientific Officer, applicable to the conflict of interest specified by V.T.C.A., Health & Safety Code § 102.106(c)(3).

I personally reviewed the information for the grant application listed above and referenced herein. Based upon my review of the information and to the best of my knowledge, I swear or affirm that the peer review process for the grant application was consistent, in all material aspects, with the process described in the statute and CPRIT’s administrative rules. This statement is true.”

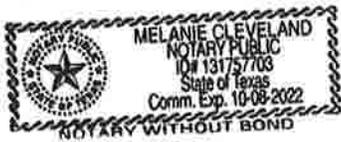
Wayne R. Roberts

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 August, 2020, by WAYNE R. ROBERTS.

Melanie Cleveland  
Melanie Cleveland  
Notary Public, State of Texas



# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

## APPLICATION PEDIGREE

Date and time exported: 08/04/2020 20:14 PM

**FY:** 2020  
**CYCLE:** 2  
**PROGRAM:** Product Development  
**MECHANISM:** Texas Company Product Development Research Awards  
**APPLICATION ID:** DP200094  
**APPLICATION TITLE:** Cytoreductive bispecific PD-L1/PD-L2 antibodies active across immune “hot” and “cold” cancers  
**APPLICANT NAME:** Curran, Michael A  
**ORGANIZATION:** Immunogenesis, Inc.  
**PANEL NAME:** Product Development Panel-2

Category	Compliance Requirement	Information	Attestation Date	
Pre-Receipt	RFA approved by CPDO	11/15/2019	05/11/2020	
	RFA published in Texas.gov eGrants	11/20/2019	05/11/2020	
	CPRIT Application Receipt System (CARS) opened	12/04/2019	05/11/2020	
	CPRIT Application Receipt System (CARS) closed	01/29/2020	05/11/2020	
	Date application submitted	01/29/2020	06/11/2020	
	Method of submission	CARS	06/11/2020	
	Within receipt period	YES	06/11/2020	
	Request for extension to submit application after CARS closed	NA	06/11/2020	
	Request for extension for late application submission accepted	NA	06/11/2020	
	Submission of application fee	YES	02/20/2020	
	Receipt, Referral, and Assignment	Administrative review notification	02/14/2020	06/11/2020
		Donation(s) made to CPRIT / foundation	NO	06/11/2020
		Assigned to primary reviewers	02/24/2020	06/11/2020
Applicant notified of review panel assignment		02/12/2020	05/11/2020	
Primary Reviewer 1 COI signed		02/17/2020	06/11/2020	
Primary (Advocate) Reviewer 2 COI signed		02/13/2020	06/11/2020	
Primary Reviewer 3 COI signed		02/13/2020	06/11/2020	
Primary Reviewer 4 COI signed		03/11/2020	06/11/2020	
Screening Teleconference Meeting	Primary Reviewer 1 critique submitted	03/21/2020	06/11/2020	
	Primary (Advocate) Reviewer 2 critique submitted	03/18/2020	06/11/2020	
	Primary Reviewer 3 critique submitted	03/17/2020	06/11/2020	
	Primary Reviewer 4 critique submitted	03/20/2020	06/11/2020	
	COI indicated by non-primary reviewer	Kristine Swiderek	06/11/2020	
	COI recused from participation	YES	06/11/2020	
	Screening Teleconference Meeting	03/24/2020	05/12/2020	
	Post-Screening Teleconference score report	03/25/2020	05/12/2020	
	Post review statements signed	04/30/2020	05/12/2020	
	Third Party Observer Report	03/31/2020	05/12/2020	
Peer Review Meeting	Recommended for On-Site Meeting	YES	06/11/2020	
	COI indicated by non-primary reviewer	Kristine Swiderek	06/11/2020	
	COI recused from participation	YES	06/11/2020	
	Peer Review Meeting	04/23/2020	06/11/2020	
	Peer Review Meeting End Date	04/24/2020	06/11/2020	
	Post review statements signed	05/31/2020	06/11/2020	
	Third Party Observer Report	05/07/2020	06/11/2020	
	Score report delivered to CPDO	05/01/2020	06/11/2020	
	Recommended for due diligence and IP review	YES	06/11/2020	
	Due Diligence and IP Review	Final due diligence review submitted to PDRC	06/11/2020	07/14/2020
Intellectual Property conflict check		05/06/2020	07/07/2020	
Final intellectual property review submitted		06/08/2020	07/07/2020	
Final PDRC Recommendation	COI indicated by PDRC member	Kristine Swiderek	07/14/2020	
	COI recused from participation	YES	07/14/2020	
	Due Diligence Evaluation Meeting / PDRC Meeting	07/06/2020	07/14/2020	
	Third Party Observer Report	07/15/2020	07/16/2020	
	Recommended for grant award	YES	07/14/2020	
	PDRC Chair Notification to PIC and OC	07/22/2020	07/23/2020	
PIC Review	COI indicated by PIC member	None	08/04/2020	
	COI recused from participation	NA	08/04/2020	
	PIC Review Meeting	08/04/2020	08/04/2020	
	Recommended for grant award	YES	08/04/2020	
Oversight Committee Approval	CEO Notification to Oversight Committee	NA		
	COI Indicated by Oversight Committee member	NA		
	COI Recused from participation	NA		
	Donation(s) made to CPRIT / foundation	NA		
	Presented to CPRIT Oversight Committee	NA		
	Award approved by Oversight Committee	NA		
	Authority to advance funds requested	NA		
Advance authority approved by Oversight Committee	NA			