



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

2015 Annual Report





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TRANSMITTAL LETTER

The Honorable Greg Abbott, Governor

The Honorable Dan Patrick, Lieutenant Governor

The Honorable Joe Straus, Speaker of the House of Representatives

Pursuant to V.T.C.A., Health and Safety Code Section 102.052, please accept this annual report from the Cancer Prevention and Research Institute of Texas (CPRIT). This document summarizes how CPRIT is fulfilling its mission of reducing the burden of cancer in Texas.

Cancer is the leading cause of death among Texans younger than 85 years of age. On average, 116 Texans die from cancer every day. The tragic emotional and physical toll of cancer is incalculable, but in purely economic terms, Texas cancer deaths translate into an annual cost to the state of about \$31.3 billion in medical expenses and lost productivity.

But Texas is not ignoring these tragic losses. Through August 2015, CPRIT announced 915 awards for prevention, academic research and product development research grants totaling more than \$1.35 billion.

In 2015 CPRIT celebrated a key milestone — over 2.6 million education and clinical prevention services provided to Texans in all 254 counties. Out of over 1.4 million clinical preventive services, 628,414 screenings and diagnostics for breast, cervical and colorectal cancer have been provided. Of these: 51,708 abnormal results were identified; 4,063 cancer precursors were detected; and 1,778 cancers were found.

In lay terms, cancer is a disease in which normal cells misbehave by multiplying uncontrollably, ignoring signals to stop, and often clumping into masses called tumors. However, cancer is not as simple as that description implies. There are at least 200 different types of cancer, each named for the organ or type of cell from which it begins. It is a complex disease.

The projects and programs supported by CPRIT, as with all biomedical undertakings, are part of an iterative cycle with observations emerging from the laboratory making their way to the patient's bedside and back again to the laboratory. Essential players in this cycle are basic scientists, physician-scientists, clinical researchers, product development entrepreneurs, public health professionals, patients and health care providers. The Institute arms all of these soldiers in the battle against cancer.

The year covered by this report was one of momentum. Texas is pushing into the frontiers of cancer science. CPRIT investments now connect universities, researchers, physicians, companies, hospitals and clinics across our state forming a critical mass of distinguished cancer-fighting talent. In 2015, 17 talented recruits were added to the stable of prestigious CPRIT scholars. This activity has brought 93 premier cancer researchers to Texas since 2009, making this program the envy of research institutions around the nation.



During fiscal year 2015, one CPRIT Product Development Research company awardee underwent initial public offering (IPO) indicating significant growth potential. A total of seven companies have CPRIT projects in clinical trials. Since 2010, CPRIT has made 27 product development research awards totaling over \$250 million. Private sector follow-on funding to these awards is nearly \$911 million. This strongly indicates angel and venture capital confidence in the CPRIT peer-review and due diligence processes.

CPRIT produces measurable results. Its projects have created high-quality jobs, critical lab infrastructure assets and along the way, helped thousands of cancer patients extend their lives. Promised benefits are being delivered today.

CPRIT can never fully express its gratitude to the teams of advocates from numerous cancer-related organizations. Their dedication and support inspires us daily in our efforts to serve all Texans.

On behalf of the CPRIT Oversight Committee and the agency's staff, we thank you and all members of the Texas Legislature for allowing us to make 2015 another great year. We look forward to the future and new opportunities to fulfill our mission to improve the health and lives of our fellow Texans.

Sincerely,

Wayne R. Roberts
Chief Executive Officer

Pete Geren
Presiding Officer



INTRODUCTION

The Cancer Prevention and Research Institute of Texas, or CPRIT, is charged by the Texas Legislature to:

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

Created by the Texas Legislature and authorized by Texas voters in 2007, CPRIT began in 2009 to award grants to Texas-based organizations and institutions for cancer-related academic research and product development research, and for the delivery of cancer prevention programs and services.

State statutes codifying CPRIT are V.T.C.A., Health and Safety Code, Chapter 102. In 2013 the regular session of the 83rd Texas Legislature substantially amended this legislation through the passage of Senate Bill 149. Changes related to that legislation effective in fiscal year 2013 were addressed in the 2013 Annual Report. No changes to Chapter 102 occurred during the 84th Texas Legislature in 2015.

CPRIT is affected by Senate Bill 200 (84th Texas Legislature, Regular Session), the Sunset Legislation for the Texas Health & Human Services Commission. This bill requires the Commission to develop a strategic plan to reduce significantly morbidity and mortality from human papillomavirus-associated cancer. The plan is to be developed in collaboration between the Department of State Health Services and CPRIT.



CPRIT OVERSIGHT COMMITTEE

The CPRIT Oversight Committee is the governing body of the Institute. The committee may adopt such policies and practices, consistent with applicable law, as it deems proper for the conduct of its meetings and the management of the agency.

Priorities

According to V.T.C.A., Health and Safety Code, Section 102.107 (as amended in 2013), the core responsibilities of the Oversight Committee include:

- Annually setting priorities for each grant program funded by the Institute (academic research, prevention, and product development research);
- Considering these priorities in awarding grants;
- Hiring a chief executive officer for the Institute; and
- Adopting rules governing conflicts of interest and grant awards process.

In 2013, amendments to CPRIT's enabling legislation require that three members (one appointed by each of the state's elected leadership officers) be "physicians or scientists with extensive experience in the field of oncology or public health."

Members (as of August 31, 2015):

Appointed by the Governor

Angelos Angelou Austin

Donald "Dee" Margo El Paso

William Rice, M.D. Austin

Appointed by the Lieutenant Governor

Ned Holmes Houston

Secretary Amy Mitchell Austin

Craig Rosenfeld, M.D. Dallas

Appointed by the Speaker of the Texas House of Representatives

Presiding Officer Preston "Pete" Geren Fort Worth

Assistant Presiding Officer Will Montgomery Dallas

Cynthia Mulrow, M.D. San Antonio



REPORT FROM THE CHIEF EXECUTIVE OFFICER

For the Cancer Prevention and Research Institute of Texas, fiscal year 2015 was a year of momentum. CPRIT is now a forward-looking pioneer on its journey to reduce the burden of cancer in Texas. As a result, Texas is pushing into the frontiers of cancer science. CPRIT investments now connect universities, researchers, physicians, companies, hospitals and clinics across our state forming a critical mass of distinguished cancer-fighting talent. CPRIT funding has created jobs, critical lab infrastructure assets and along the way, helped thousands of cancer patients extend their lives. Promised benefits are being delivered today.

Below are a few of CPRIT's milestones and key accomplishments in 2015. Each is discussed in greater detail starting on page 10 of this report.

- The academic research program awarded 112 grants, bringing CPRIT's total since 2009 to \$967.2 million.
- 30 childhood and adolescent cancer research projects are now supported—a 28 percent increase in funding from 2014.
- Another 17 CPRIT scholars were brought to Texas institutions, bringing the state's total to 93 as of August 31, 2015.
- One company with a product development research award issued an IPO, with two more announcing plans for later in 2015. As of August 31, \$258.5 million in product development awards resulted in \$910.8 million in follow-on funding, indicating private sector confidence in the high-quality merit-based peer review and due diligence required to receive a CPRIT award.
- The 2.6 millionth prevention service was provided. Since 2009, over 628,000 screenings and diagnostics for breast, cervical and colorectal cancer have been funded. From these, 51,708 abnormal results were identified; 4,063 cancer precursors detected; and 1,778 cancers found.
- 84 new clinical trials are underway, treating nearly 5,600 patients.
- The first statutory annual iteration of Program Priorities was adopted by the Oversight Committee, transparently indicating funding and programmatic goals for the agency. These priorities show how the Committee intends to orient the Institute's funding portfolio among and within its three programs as well as guide CPRIT staff and review councils about the development and issuance of program-specific requests for applications and the evaluation of applications submitted in response to those requests.
- The Institute's compliance program was dramatically expanded through an outside contractor to ensure grantee compliance with CPRIT's strict accountability and conflict of interest requirements. A new Fraud, Waste, & Abuse Hotline was established.



- Preparations for the resumption of CPRIT’s highly acclaimed Innovations in Cancer Prevention and Research Conference in November 2015 were finalized for an expected 800 attendees. Twenty-three panels of oncology-related experts in academic research, prevention, and product development research were set. More than 400 abstract poster sessions were expected to provide significant networking opportunities for attendees from around the nation.
- Issuance of a quarterly Achievements Report was inaugurated. This publication updates significant metrics and spotlights advancements made in each of CPRIT’s three programmatic initiatives.

The question is often asked: “When are you going to cure cancer?” After all, CPRIT estimates that at least \$18.2 billion annually is pumped into fighting cancer nationally. CPRIT contributes \$300 million of this investment, or 1.6 percent.

Partial answers to this question are discussed in “Curing Cancer: Where are we today?” by Margaret Kripke, PhD, CPRIT’s chief scientific officer, on page 49.

But in asking this question, CPRIT encourages people to reflect upon how the scientific process works. Advances are generally made by building upon previous research and the work of others over considerable periods of time. In his book, “How We Got to Now,” author Steven Johnson points out that, much like the evolution of pollen that altered the design of the hummingbird’s wings, the most remarkable thing about innovations is the way they precipitate unanticipated changes that reverberate beyond the field of discipline or problem at the center of the particular innovation. The “Hummingbird Effect,” as Johnson calls it, can be seen in the Gutenberg printing press: it created the need for reading glasses, which led to experiments with lenses, followed by the invention of the microscope and the discovery of microscopic cells.

The science and technology that came together to make a microscope possible are similar to the science and technology CPRIT invests in today. Prevention and cures for cancer are made possible with every advancement. So the answer to the question—when will cancer be cured?—is now. Cancer is cured now, one discovery at a time. CPRIT is proud to be part of this connectivity.

Reflecting on 2015 as this report does, the Oversight Committee and staff of CPRIT are excited at the momentum we now witness. In 2007 the citizens of Texas authorized \$3 billion for this historic undertaking to cure cancer. We project that in early 2016 CPRIT will reach the halfway milestone in the awarded amount of funds it is to award.

Although proud of what’s been done to this point, we expect much, much more in the years ahead. At CPRIT the glass is only half full...the journey only half traversed. There is much good to do on the path ahead.

As it leaves 2015 behind, the state of the Institute is advancing—in 2016 the frontier expands.



THE IMPACT OF CANCER IN TEXAS AND THE STATE’S RESPONSE

Cancer is the second leading cause of death in Texas and the nation, behind heart disease. It is the leading cause of death for persons younger than 85 years, and is expected to surpass heart disease as the overall leading cause of death within this decade. It is estimated that one in two men and one in three women will be diagnosed with cancer in their lifetimes.

In 2015, it is estimated that there were 109,053 Texans newly diagnosed with cancer and 42,255 who died of the disease.

With improvements in treatment, and cancers being detected earlier, there are increasing numbers of cancer survivors. Additionally, the number of people diagnosed with and living with cancer will continue to increase as the population grows and ages.

Cost of Cancer to Texas

According to [An Economic Assessment of the Cost of Cancer in Texas and the Benefits of the Cancer Prevention and Research Institute of Texas \(CPRIT\) and its Programs](#) report, direct medical costs and morbidity and mortality losses in the state totaled \$31.3 billion in 2015, down modestly from \$32.4 billion the previous year and up from \$30.4 billion two years ago.

Cancer costs the Texas economy:

- \$156.8 billion in reduced annual spending;
- \$77.3 billion in output losses annually; and
- 818,300 lost jobs from cancer treatment, morbidity and mortality and the associated spillover effects.

Cancer also costs the government of the State of Texas nearly \$1 billion annually in health-related expenditures, as shown below.

Initiative/Organization	Cancer-Related Expenditures
Children’s Health Insurance Program	\$13.3 million (FY 2014)*
Texas Medicaid	\$312.9 million (FY 2014)*
Teacher Retirement System of Texas	\$351.2 million (FY 2015)
Employees Retirement System of Texas	\$296 million (FY 2015)

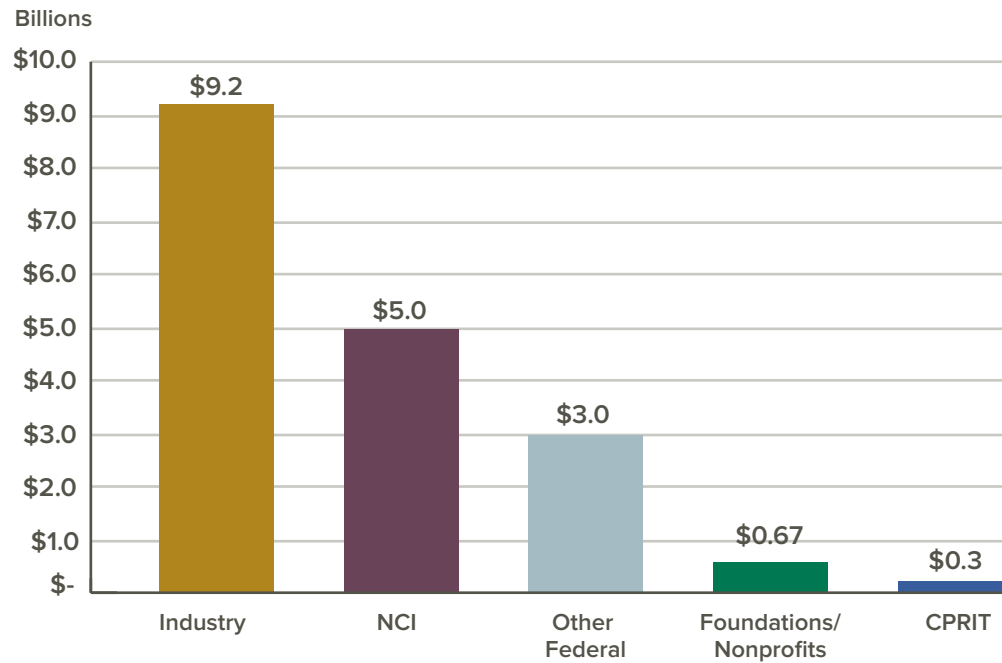
**Most recent data available from the Health and Human Services Commission*



Other Sources of Cancer Funding

Nationally, more than \$18 billion annually is spent on cancer research, product development and prevention programs. As shown in the following chart, more than half of this funding comes from private industry sources, with a somewhat smaller amount derived from federal sources (the National Cancer Institute, as well as other federal programs such as those within the Department of Defense). CPRIT funds more cancer research in Texas than the National Cancer Institute. In fact, CPRIT funding more than doubles what is available for cancer research. While CPRIT is believed to be the largest single source of non-federal public cancer funding, the Institute’s \$300 million in annual funding makes up a relatively small percentage of this total.

CANCER RESEARCH FUNDING



Source: "Report of the National Cancer Advisory Board AD Hoc Working Group, Dec. 2010."
Excludes philanthropy.



CPRIT's Economic Impact for Texas

Economic development, and specifically the creation of high-quality new jobs for Texas, is a stated element of the mission of CPRIT as defined by statute. Through the end of fiscal year 2015, the following results can be attributed to CPRIT's activities and investments:

- \$5.4 billion in Texas business activity;
- 60,160 jobs created through direct and indirect economic activity, according to the Perryman Group report; and
- \$257.5 million in state tax receipts and \$119.8 million in local government tax receipts.

In addition to these economic development accomplishments, CPRIT's efforts also enable Texans' prosperity by reducing the economic costs of cancer. For example, every \$1 that CPRIT invests in screening programs results in an estimated \$22 savings in treatment costs, preserved productivity, and other economic benefits through earlier detection of cancers.



CPRIT GRANT PROGRAMS: ACADEMIC RESEARCH

Principles and Priorities

The CPRIT academic research program is guided by the following principles:

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

CPRIT's strategy is to support the most creative ideas and the most meritorious projects brought forward by the cancer research community. The overarching principles for awarding CPRIT funds are scientific excellence and impact on reducing the burden of cancer. However, in recognition that a more strategic deployment of funds may accelerate progress in cancer research beyond what can be achieved simply by adding incrementally to the types of cancer research funded by other agencies, a more targeted approach to solicitations of research proposals has been taken during this fiscal year. The program priorities for academic research adopted by the Oversight Committee include funding projects that address the following:

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

Based on these priorities, the CPRIT research program has released Requests for Applications (RFAs) for studies on prevention and early detection of cancer, cancer in children and adolescents, and computational biology. Applications for additional awards in these areas are currently under review.

Progress toward funding research in CPRIT priority areas is being assessed moving forward. To date, an increase has been noted in the number of grants devoted to childhood and adolescent cancers (from 4 percent to 13 percent), prevention and early detection (13 percent to 17 percent), and computational biology (2 percent to 4 percent). We anticipate that these numbers will continue to increase with the release of targeted RFAs devoted to these priority areas.

Additionally, CPRIT has seen an increase in some of the funding levels to cancers that are important in Texas. Most notably, funding for liver cancer research has increased from zero to 10 percent.

CPRIT academic research award applications are reviewed by seven independent peer review panels. The peer reviewers are selected from outside of Texas from among the most prominent cancer researchers in the country. They are charged to assess academic research proposals on the basis of scientific merit and potential impact on cancer. Each of the seven panels is chaired by a distinguished cancer researcher;



together, these chairs make up the Scientific Review Council, chaired by a world-renowned scientist.

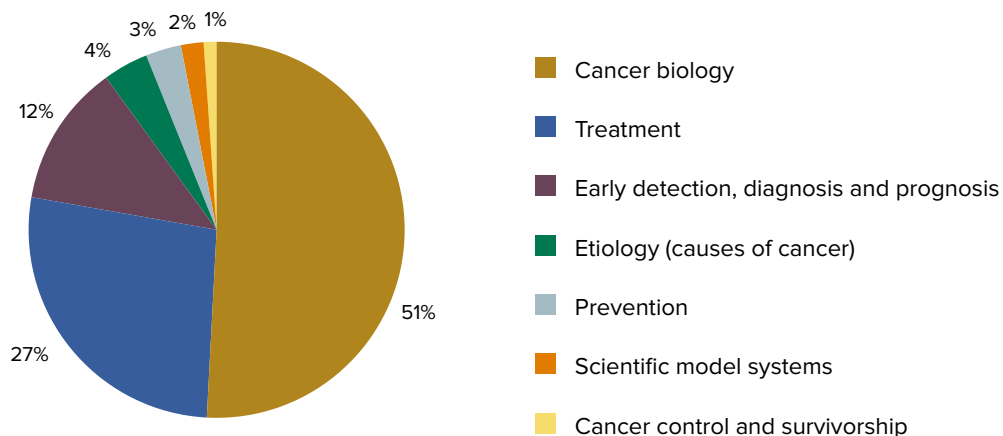
The Institute uses a variety of grant award mechanisms to achieve the goals of the academic research program:

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

CPRIT's Academic Research Portfolio

In 2015 CPRIT awarded 51 Individual Investigator Research Awards, 20 Bridging the Gap: Early Translational Research Awards, 16 High-Impact, High-Risk research grants, six Core Facilities Support Awards, two grants for Multi-Investigator Research Awards, for a total of \$140.3 million, and supported the recruitment of 17 outstanding cancer researchers to Texas with recruitment awards totaling \$49 million.

DISTRIBUTION OF FUNDED SCIENTIFIC RESEARCH GRANTS BY RESEARCH AREA (CUMULATIVE FROM FISCAL YEAR 2014 TO FISCAL YEAR 2015)*

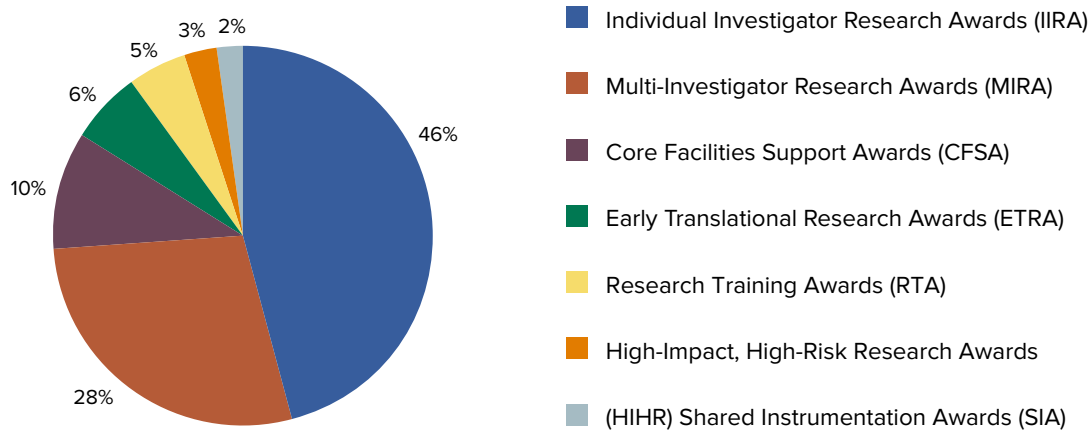


*CPRIT realigned the research area categories to more accurately reflect the categories used by NIH



From its inception, CPRIT has awarded 647 academic research grants, totaling more than \$675.1 million in research program funding, along with recruitment grants totaling more than \$275 million to bring 93 outstanding researchers and their teams to Texas.

RESEARCH GRANT FUNDING DISTRIBUTION BY MECHANISM (CUMULATIVE TOTALS AS OF AUGUST 31, 2015)



As shown in the figure above, the majority of CPRIT academic research grant funding supports Individual Investigator Research Awards (IIRA). These awards fund individual investigators who propose innovative research projects that will significantly advance knowledge of the causes, prevention, and/or treatment of cancer. These awards, which account for 46 percent of research grants, are highly competitive; less than 15 percent of the applications received to date by CPRIT have been funded. Approximately \$296 million has been awarded to 19 institutions in Texas for the IIRA grant program.

High-Impact, High-Risk (HIHR) grants fund two-year projects to explore new avenues in cancer research. Only a limited number of applications are accepted from academic institutions and approximately 12 percent of the applications submitted to date have been funded. 83 HIHR awards have been made to 20 institutions, totaling more than \$16 million.

Multi-Investigator Research Awards (MIRA) fund large-scale, cross-disciplinary research programs that require both innovation and collaboration. CPRIT has awarded over \$209.9 million to 194 individual projects.

The remainder of the portfolio includes the following smaller grant mechanisms that account for more than \$150 million of CPRIT's research portfolio:

- Eight Shared Instrumentation Awards and 17 Core Support Facilities Awards that provide infrastructure to support the cancer research of many investigators;
- 29 Early Translational Research Awards that support projects leading to the development of cancer therapeutic agents, devices, or diagnostics; and
- 14 Research Training Awards that support the training of the next generation of cancer researchers.



ACTIVE ACADEMIC RESEARCH GRANT PROJECTS IN FISCAL YEAR 2015 BY AWARD MECHANISM				
Award Mechanism	Award Maximum/ Project Duration	Award Mechanism Description	Number of Projects Active During FY 2015	Total Award Amount
High-Impact, High-Risk Research Awards (HIHR)	- Up to \$200,000 - 2 years	Supports relatively short-term high-impact, high-risk projects that are innovative, developmental, and/or exploratory in nature targeting new avenues of cancer research.	45	\$8,970,591
Individual Investigator Research Awards (IIRA)	- Up to \$900,000 - 3 years	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.	190	\$173,246,881
Individual Investigator Research Awards for Cancer in Children and Adolescents (IIRCCA)	- Up to \$2,000,000 - 4 years	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.	10	\$17,967,225



Award Mechanism	Award Maximum/ Project Duration	Award Mechanism Description	Number of Projects Active During FY 2015	Total Award Amount
Individual Investigator Research Awards for Prevention and Early Detection (IIRAP)	<ul style="list-style-type: none"> - Up to \$900,000 for laboratory and clinical research; - Up to \$1,500,000 for population-based research. - 3 years 	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.	5	\$5,929,967
Multi-Investigator Research Awards (MIRA)	<ul style="list-style-type: none"> - 5 years 	Supports integrated programs of collaborative and cross-disciplinary cancer research among multiple investigators for projects that cannot be effectively addressed by individual researchers or a group of researchers within the same discipline.	134	\$153,282,124
Research Training Awards (RTA)	<ul style="list-style-type: none"> - Up to \$750,000/year - 5 years 	Supports training programs for predoctoral (PhD or MD/PhD) and postdoctoral trainees committed to pursuing a career in cancer research. Also supports undergraduate summer research internships and Master's degree-level trainees.	7	\$11,775,347
Shared Instrumentation Awards (SIA)	<ul style="list-style-type: none"> - Up to \$3M for 1st Year, up to \$300,000 subsequent years - 5 years 	Supports the acquisition of major research instrumentation that cannot be requested through other CPRIT programs and whose purchase can be justified on a shared-use basis to support the goals of scientifically meritorious cancer research projects.	8	\$12,436,069



Award Mechanism	Award Maximum/ Project Duration	Award Mechanism Description	Number of Projects Active During FY 2015	Total Award Amount
Core Facilities Support Awards (CFSA)	- Up to \$2M for 1st year, up to \$1M subsequent years - 5 years	Supports centralized laboratories performing widely used technologies that serve the needs of multiple researchers.	17	\$68,238,989
Early Translational Research Awards (ETRA)	- Up to \$1M - 1-3 years	Supports projects that “bridge the gap” between the research laboratory and potential clinical applications, such as proof-of-principle research to guide the development of therapeutics, devices or diagnostic assays.	29	\$42,140,532
TOTAL			445	\$493,987,725
Prior Grants (closed)			297	\$457,554,860

Recruitment Grants

Building a critical mass of cancer researchers in Texas is addressed by supporting recruitment of cancer scientists and clinicians, at all career levels, to academic institutions in Texas and through training programs in which pre- and post-doctoral fellows are educated to become cancer researchers. Seventeen world-class scientists were recruited to Texas with the aid of CPRIT funding via recruitment awards in fiscal year 2015, for a total amount of \$49 million. Since its inception, CPRIT has supported the recruitment of 93 outstanding cancer researchers to 13 academic institutions in Texas. This program has been highly successful in enhancing Texas’ cancer research efforts and increasing the external visibility of the state in this field.



CUMULATIVE NUMBER OF RECRUITMENT GRANT PROJECTS AS OF AUGUST 31, 2015 BY AWARD MECHANISM				
Award Mechanism	Award Maximum/ Duration	Award Mechanism Description	Number of Recruits	Total Award Amount
Recruitment of Established Investigators	- Up to \$6M - 5 years	Support to recruit senior research faculty with distinguished professional careers and established cancer research programs.	20	\$118,715,750
Recruitment of First-Time, Tenure-Track Faculty	- Up to \$2M - 4 years	Support to recruit emerging investigators pursuing their first faculty appointment who have the ability to make outstanding contributions to the field of cancer research.	62	\$123,592,505
Recruitment of Missing Links	- Up to \$2M - 5 years	Support to recruit investigators who can fill special and specific needs as critically important members of collaborative research teams.	3	\$5,881,402
Recruitment of Rising Stars	- Up to \$4.5M - 5 years	Support to recruit early-stage investigators who have demonstrated the promise for continued and enhanced contributions to the field of cancer research.	8	\$26,270,259
TOTAL			93	\$274,459,916

Representative Academic Research Program Grants

Promising new areas of research are being funded by the academic research program, including childhood cancer, ovarian cancer and HPV vaccine uptake, as illustrated by the following grants.

Recruitment Award

Joshua Mendell, M.D., Ph.D.

Joshua Mendell, M.D., Ph.D. is a professor of molecular biology, a member of the Simmons Cancer Center, and a member of the Center for Regenerative Science and Medicine at The University of Texas Southwestern Medical Center. He was appointed as a CPRIT scholar (Rising Star) in 2011, and his work centers around noncoding RNA, which is RNA that is transcribed from genes, but not translated into protein. Dr. Mendell's laboratory is investigating how these RNAs are controlled in order to understand how they become overexpressed in



cancer. His research has generated the first genome-wide map of microRNA gene structures, which provides a major advance in our understanding of how expression of these transcripts is controlled. In addition, he's made significant progress in defining new genetic causes of Wilms tumor, a type of kidney cancer found only in children. During the past year, Dr. Mendell was appointed as a Howard Hughes Medical Institute Investigator, which provides his salary support and \$2.8 million to support his research program over five years. He was also awarded a prestigious Outstanding Investigator Award from the National Cancer Institute which provides another \$5 million of research support over the next seven years.

High-Impact, High-Risk Award

Matthew Anderson, M.D., Ph.D.

Matthew Anderson, M.D., Ph.D. from Baylor College of Medicine in Houston is studying ovarian cancer. He found that the presence of RNAs coded by human cytomegalovirus and Epstein-Barr virus are accurate predictors of the severity of this disease. These viruses were not previously known to be associated with ovarian cancer. He hypothesizes that the viral microRNAs play a critical role in driving the growth and metastasis of this cancer, and his work is examining whether the viruses themselves are also present. If successful, the work could lead to novel options for treating and diagnosing ovarian cancer and would lead to exploration of the role of common viruses in other types of cancer.

Individual Investigator Research Award

Maria Fernandez, Ph.D.

Maria Fernandez, Ph.D. from The University of Texas Health Science Center at Houston is testing various approaches to try to increase the frequency of HPV vaccinations among Hispanic youths, aged 11-17 years. HPV vaccines have the potential to greatly reduce the incidence of cervical cancer, which has the highest mortality rate in the country among Hispanic women in Texas. Unfortunately, use of the vaccine is relatively low. One intervention involved education of parents using an iPad-based targeted interactive multimedia program developed by Dr. Fernandez and colleagues. Use of this approach increased the initial vaccination rate from 30 to 43 percent. Future plans include developing and testing additional interventions and assessing the effectiveness of text message reminders for subsequent booster immunizations.

Focus of Activities in Fiscal Year 2015

During the past fiscal year, CPRIT Scientific Research Peer Review panel members reviewed a total of 563 research grant applications, 75 of which were recommended to the Program Integration Committee and the Oversight Committee for funding. All recommended applications were approved for funding by the Oversight Committee, at a total dollar amount of \$107 million. The Scientific Review Council reviewed applications for 54 recruitment awards, 35 of which were recommended for funding, with 17 accepting. All recommended applications were approved by the Program Integration Committee and



the Oversight Committee for funding. In addition, eight RFAs for research projects were released, including RFAs for core facilities, multi-investigator programs, high-impact and high-risk, and targeted RFAs for the high priority areas of prevention and early detection, cancers of children and adolescents, and computational biology.



CPRIT GRANT PROGRAMS: PREVENTION

The ability to reduce cancer death rates depends, in part, on more broadly applying evidence-based strategies currently available. CPRIT's prevention grant awards make it possible for prevention strategies and services to reach more Texans to decrease the burden of cancer. Through the prevention program, CPRIT invests in building understanding of and the capacity to deliver effective community-based interventions so that new technologies and services are made available across the state.

Principles and Priorities

The CPRIT prevention program is guided by the following principles:

- *Funding Evidence-Based Interventions.* CPRIT funds prevention programs and services, for any cancer type, that are culturally appropriate for the target population and that are validated by documented research or applied evidence.
- *Funding across the Prevention Continuum.* CPRIT funds quality proposals focused on:
 - Primary prevention: Reducing risk or preventing cancer from occurring (e.g., vaccine-conferred immunity, tobacco cessation);
 - Secondary prevention: Early detection of cancer to prevent it from spreading and treating diagnosed cases when the opportunity for greatest success exists (e.g., screening/early detection for breast, cervical, and/or colorectal cancer); and
 - Tertiary prevention: Reducing risk of recurrence and improving quality of life for survivors and families (e.g., physical rehabilitation/therapy, psychosocial interventions, palliative care).

In November 2014 the CPRIT Oversight Committee, as required by Health and Safety Code: Chapter 102, established the following priorities for the Prevention Program:

- Prioritize populations and geographic areas of greatest need, greatest potential for impact;
- Focus on underserved populations; and
- Increase targeting of preventive efforts to areas where significant disparities in cancer incidence or mortality in the state exist.

Due to timing, the Request for Applications (RFAs) released in fiscal year 2015 did not include the program priorities approved in November 2014. However, a review of the grants active during fiscal year 2015 show that, of 70 active grants, 21 of the grants prioritized population and geographic areas of greatest need, 62 focused on underserved populations and 25 focused on increased targeting of efforts to areas where significant disparities in the state exist.



CPRIT's Prevention Portfolio

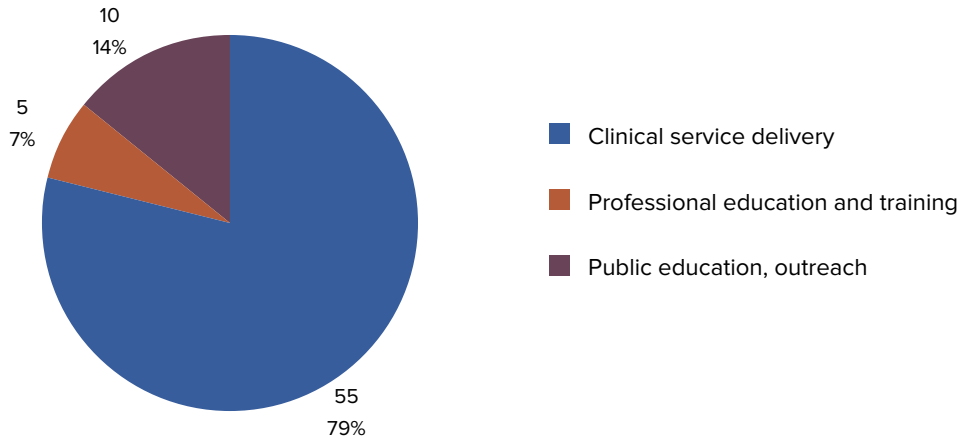
Since 2009 CPRIT has funded 146 prevention grants, 70 of which were active during fiscal year 2015. The active evidence-based projects, accounting for a total of \$107,021,035 in funding, have been awarded through the following mechanisms:

ACTIVE PREVENTION GRANT PROJECTS IN FISCAL YEAR 2015 BY AWARD MECHANISM				
Award Mechanism	Award Maximum/ Project Duration	Award Mechanism Description	Number of Projects Active during FY 2015	Total Award Amount
Evidence-Based Cancer Prevention Services (EBP)	- Up to \$3M - 3 years	Supports evidence-based services in primary, secondary and/or tertiary cancer prevention.	46	\$77,422,251
Evidence-Based Cancer Prevention Services – Colorectal Cancer Prevention Coalition (EBP-CRC)	- No dollar limit - 3 years	Supports simultaneous implementation of colorectal cancer prevention and control services in multiple clinical sites.	2	\$7,388,774
Competitive Continuation/Expansion for Evidence-Based Cancer Prevention Services	- Up to \$1.5M - 3 years	Supports continuation or expansion of currently or previously funded projects that have demonstrated exemplary success.	16	\$20,075,539
Behavior Change Through Public and Professional Education and Training (PPE)	- Up to \$500,000 - 3 years	Supports health promotion, education and outreach of the public and/or training of professionals for primary, secondary and tertiary cancer prevention that will improve health behaviors related to cancer.	6	\$2,134,471
TOTAL ACTIVE FY 2015			70	\$107,021,035
Prior Grants (closed)			76	\$35,168,885
Total Grants to Date			146	\$142,189,920

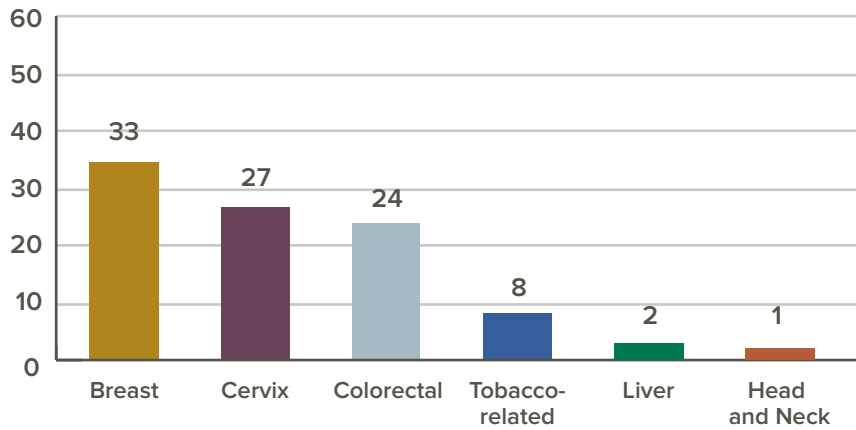


The following charts illustrate the distribution of these projects by type, cancer site and geographic location. Projects may address more than one focus area or cancer site.

NUMBER OF ACTIVE PREVENTION PROJECTS BY PRIMARY FOCUS AREA

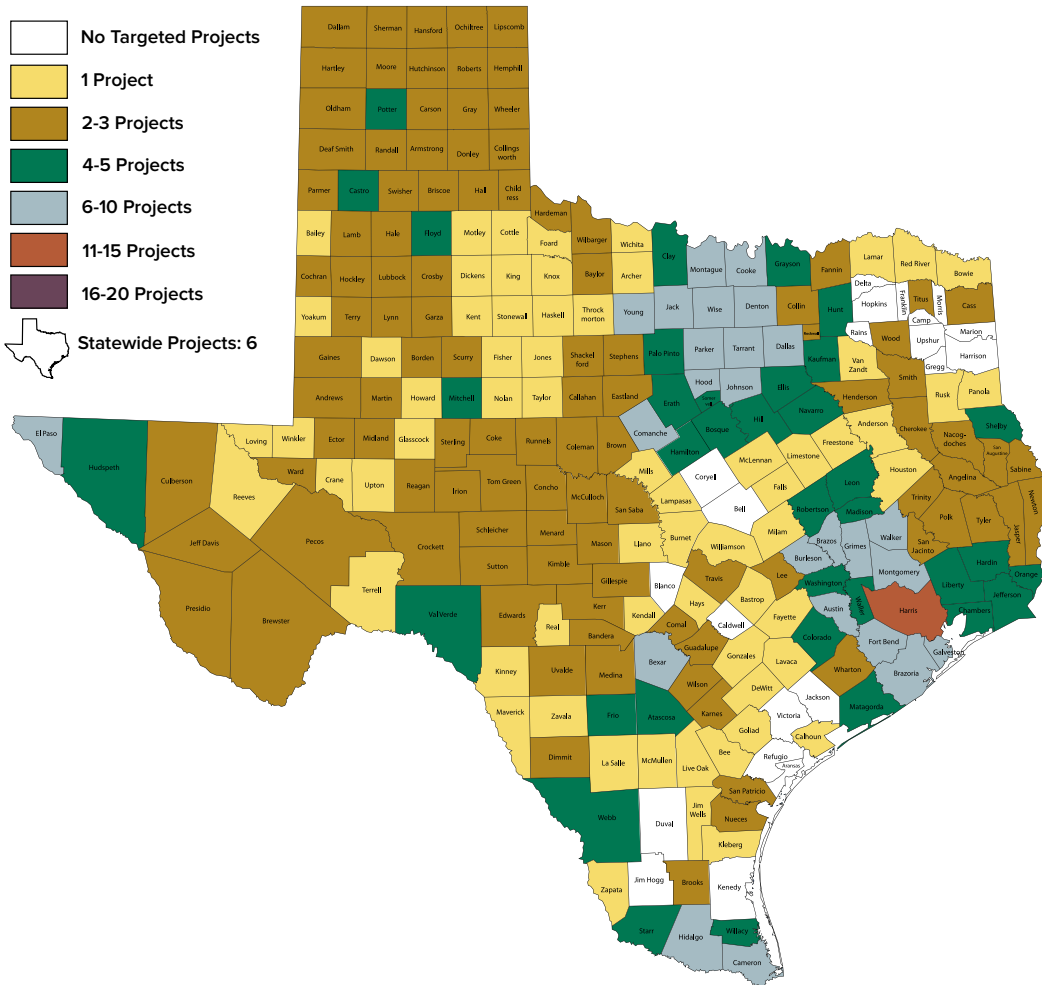


NUMBER OF ACTIVE PREVENTION PROJECTS BY CANCER SITE





COUNTIES SERVED BY CPRIT PREVENTION PROJECTS 70 ACTIVE PROJECTS DURING FY 2015



Prevention grantees report quarterly and annually on their progress. Based on grantee reports, since its inception, the CPRIT prevention program has supported programs providing services to over 2.5 million Texans. Of these, 1,211,256 have been education and training services. In addition, 1,417,857 clinical services have been delivered to Texans. These projects in the CPRIT prevention portfolio have led to:

- 19,465 prevention vaccinations;
- 197,153 Texans receiving tobacco cessation services;
- 17,361 Texans receiving genetic testing and counseling;
- 11,797 Texans receiving survivor care; and
- 628,414 screenings and diagnostics for breast, cervical, colorectal, and liver cancers. Of these:
 - 226,585 recipients had never before been screened;
 - 51,708 abnormal results were identified;
 - 4,063 cancer precursors were detected; and
 - 1,778 cancers were detected.



Representative Prevention Program Grants

Dr. Edward Sauter, colorectal cancer screenings (PP140018)

Last March, One Stop Barbershop in Tyler offered its African-American customers something more than the usual haircut: information on the risks of colon cancer — and the opportunity to sign up for free preventive screening. The creative community outreach effort was organized by The University of Texas Health Science Center Northeast and made possible by a \$1.23 million CPRIT prevention grant. Incidence and mortality rates from colorectal cancer (CRC) are higher in East Texas than in any other region of the state. Dr. Edward Sauter’s three-year goal is to provide FIT tests or colonoscopies to 2,000 uninsured and underserved Texans in seven counties. In the first six months of the project, 91 percent of the 910 colonoscopies performed detected lesions which required biopsy, and 37 percent of the biopsies showed precancerous polyps. Five individuals were diagnosed with anywhere from stage two to stage four CRC and directed to treatment. The five-year survival rate for CRC is 92 percent when caught in the early stages, according to the American Cancer Society.

Cho Lam & Lorraine Reitzel, Taking Texas Tobacco Free (PP130032)

Tens of thousands of Texans can breathe easier, thanks to a project called “Taking Texas Tobacco Free.” So far, it’s helped 18 Local Mental Health Authorities (LMHAs) — home to more than 250 clinics throughout Texas — establish tobacco-free workplaces. LMHAs serve the mentally ill, who are 70 percent more likely to smoke cigarettes than the general population, according to the Centers for Disease Control and Prevention. The project, modeled after Austin Travis County Integral Care’s Tobacco-Free Workplace Program, has educated more than 4,500 clinical and general staff on the health risks of smoking and given them the training and tools to provide cessation interventions. “We have potentially made an impact in the incidence of cancers across the entire state of Texas just by reducing smoking rates among consumers with mental health disorders,” said Lorraine Reitzel, PhD, the project’s co-investigator. “And we know that over 100,000 Texas consumers are no longer being exposed to second-hand smoke, which is responsible for 50,000 deaths a year across the United States.”

Linda Ross, breast cancer screenings (PP120108)

Two years ago, Melissa Kellermeier was hit with a devastating one-two punch. She was diagnosed with stage 4 breast cancer followed by news that her insurance wouldn’t cover the cost of a biopsy or treatment. “All I could think of was, I have four kids, I want to see them graduate, get married. I want to know my grandchildren.” Melissa was directed to Enter Access to Breast Care for West Texas (ABC4WT), a CPRIT-funded program developed by the Laura W. Bush Institute for Women’s Health at Angelo State University. It connects women in the Concho Valley with resources for women’s health prevention and screening, including mammograms, breast exams, transportation and other assistance. To date, ABC4WT has served 1,060 women and provided 889 screening mammograms and 713 diagnostic services. Twenty-three women, including Melissa, have been diagnosed with breast cancer and navigated through the health care system



with assistance from ABC4WT staff. Last May, Melissa was tested and declared completely free of cancer. “My biggest advice to anyone would be to not put off going to get screened,” she said. “I was stage 4. If you can catch it at stage 1 or stage 2, that can make a huge difference.”

For a full list of projects in the CPRIT prevention portfolio: <http://www.cprit.texas.gov/funded-grants>.



CPRIT GRANT PROGRAMS: PRODUCT DEVELOPMENT RESEARCH

Principles and Priorities

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

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

Gaps exist in the market's ability to translate research insights and product visions into FDA approved and commercially available products. These gaps may delay or deny cancer patient access to important scientific advances. CPRIT works to bridge these gaps, leveraging its product development grant funds with matching funds from other sources. CPRIT funds scientifically meritorious product development research projects based on the potential for translating research discoveries into products that can help cancer patients. In addition to the scientific peer review process used by all CPRIT programs, product development research proposals are subjected to a thorough due-diligence analysis to evaluate the applicant's regulatory plan and business operations capacity.

The CPRIT product development research grant program uses a variety of grant award mechanisms to fulfill its objectives. The award types include:

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

CPRIT's statute directs the Oversight Committee to establish program priorities on an annual basis. The priorities are intended to provide transparency related to how the Oversight Committee directs the orientation of the agency's funding portfolio. In November 2014 the CPRIT Oversight Committee approved the following priorities for the product development research program:

- Funding projects at Texas companies and relocating companies that are most likely to bring important products to the market;



- Providing funding that promotes the translation of research at Texas institutions into new companies able to compete in the marketplace; and
- Identifying and funding projects to develop tools and technologies of special relevance to cancer research, treatment and prevention.

The established priorities are consistent with the principles outlined in CPRIT's product development research grant requests to move forward the development of commercial products to diagnose and treat cancer, and to improve the lives of cancer patients. This is accomplished while supporting the creation of good, high-paying jobs in Texas' growing high-tech life sciences business environment and expecting sound financial return on the funds invested.

CPRIT's Product Development Research Portfolio

Twenty-four Texas-based companies have received CPRIT product development research awards. Two other companies received research awards in January 2010 prior to the launch of CPRIT's product development research program, and one company (Mirna Therapeutics) earned a second award in 2015. The 27 CPRIT-funded company projects include promising drugs, diagnostics and devices targeting a variety of cancers, including cancers of the blood (leukemia, lymphoma, and myeloma), brain, breast, colon and rectum, esophagus, gall bladder, cervix, head and neck (oral), kidney, liver, lung, ovarian, pancreas, prostate, skin, and stomach. Some of the CPRIT-funded companies are developing approaches applicable to multiple cancer types.

CPRIT's product development research portfolio exceeds \$250 million. Together with the companies' required matching funds, total investment in research and development for the 27 CPRIT-funded company projects exceeds \$375 million. In addition to creating new and improved tools and treatments for fighting cancer, CPRIT's investments foster Texas' life science industry. While bringing a product to market takes time, jobs and economic activity are generated throughout the process. Projects funded by CPRIT are expected to create approximately 269 direct jobs — highly skilled, high-wage positions in life sciences — in Texas over the three-year term of CPRIT's product development research grant awards.

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

As of August 31, 2015, 19 CPRIT-funded company projects were active out of 27 grants awarded since CPRIT's inception. Seven companies — Apollo Endosurgery, Bellicum Pharmaceuticals, Caliber Biotherapeutics, InGeneron, Mirna Therapeutics, Rules-Based Medicine and Visualase — have completed work on their CPRIT-funded projects. (Mirna has gone on to earn a second CPRIT grant for a new project.) One other company's grant — Peloton Therapeutics — remains on hold from fiscal year 2013.



ACTIVE PRODUCT DEVELOPMENT RESEARCH GRANT PROJECTS IN FISCAL YEAR 2015 BY AWARD MECHANISM				
Award Mechanism	Project/Activity	Entity	Cancer Type	Total Award Amount
Established Company Award	Novel targeted biologics, Engineered Toxin Bodies (ETB), as cancer therapeutics	Molecular Templates, Inc.	Lymphoma	\$10,600,000
	Clinically Actionable Mutation Profiling for Cancer Personalized Medicine using Scalable, Ultra-deep Next Generation Sequencing	Asuragen, Inc.	All Sites	\$6,837,265
	Formation of the Texas Cancer Therapeutics Process Development Lab	Kalon Biotherapeutics	Multiple Sites	\$7,901,420
	Development of an oncolytic adenovirus for the treatment of glioblastoma	DNAtrix, Inc.	Brain	\$10,813,623
	Depletion of an amino acid necessary for cancer cells causes cancer cell starvation and death	AERase, Inc.	Bladder, Gall Bladder	\$19,806,145
	Testing and development of lead compound in combination with other therapeutics (2014 award)	Mirna Therapeutics, Inc.	Liver	\$16,765,075
	Diagnostic to aid physicians in the decision as to whether surgery is needed.	Vermillion	Ovary	\$7,533,011



Award Mechanism	Project/Activity	Entity	Cancer Type	Total Award Amount
New Company Award	Expanding the Market and Success Rates for Myeloablative Cancer Treatments Using PUL-042, an Innate Immune Stimulant	Pulmotect, Inc.	Breast, Leukemia, Lymphoma, Ovary	\$7,126,398
	Compounds to cause overproduction of toxic ceramides in cancer cells	CerRx, Inc.	T-cell Lymphoma	\$6,000,000
	Antibody drug conjugate targeting the epidermal growth factor receptor	Armada Pharmaceuticals, Inc.	Breast, Head and Neck, Lung, Stomach	\$12,750,000
	Developing an inhibitor of beta catenin pathway in colorectal cancer	Beta Cat Pharmaceuticals	Colon, Leukemia	\$15,908,085
	Developing targeted small molecules for treatment of brain	Curtana Pharmaceuticals	Brain	\$7,580,185
	Cancer immunotherapy employing adoptive cellular therapy and personalized cancer vaccines	Immatics, U.S., Inc.	Brain, Pancreas	\$19,652,175
	An IL-4: Pseudomonas exotoxin fusion protein targets IL-4R positive glioblastoma	Medicenna Therapeutics, Inc.	Brain	\$14,140,090
	Radiolabeled lipid nanoparticles delivered directly to the brain to treat glioblastoma and possibly other cancers	NanoTx Therapeutics	Brain	\$2,000,000
	Device: Method for visualizing tumor cells during surgery	OncoNano Medicine	Breast, Melanoma, Skin	\$6,000,000
	Device: An implantable neurostimulation device to restore bladder function from OAB as a result of cancer therapy	Nuviant Medical (formerly Rosellini Scientific, LLC)	Cervix, Prostate	\$967,000



Award Mechanism	Project/Activity	Entity	Cancer Type	Total Award Amount
Company Relocation Award	TexCITE (Texas Cancer ImmunoTherapy Enterprise): Focused development of innovative cell therapies for cancer	Cell Medica	Lymphoma, Other	\$15,571,303
	Blocking the androgen receptor to overcome the hormone-therapy resistance in prostate cancer	ESSA Pharma, Inc.	Prostate	\$12,000,000
TOTAL ACTIVE FY 2015			19	\$199,951,775
Inactive/Closed			8	\$50,206,228
Total Grants to Date			27	\$250,158,003

Representative Product Development Research Grants

New Company Awards

Immatics US, Inc. harnesses the power of the body’s own immune system to attack and kill cancer cells (DP150029)

Immatics is positioning itself to become the leader in adaptive cellular therapies (ACT) for the treatment of tumors with high unmet medical needs. The Houston-based company is collaborating with The University of Texas MD Anderson Cancer Center to develop immunotherapies that target tumors through T cell receptor approaches. T cell immunotherapy is emerging as a standard of care for patients suffering from certain skin and blood cancers. A critical mass of leading immunotherapy experts and the unique clinical infrastructure available in Houston will strongly accelerate the company’s mission to build a sustainable, world-class cancer immunotherapy company in Texas and translate the value of novel cancer targets into better and longer lives for cancer patients.

Established Company Awards

AERase, Inc. develops novel cancer treatments by exploiting the unique metabolism of cancer cells (DP140031)

Cancer cells, unlike normal cells, lack the ability to make certain amino acids (AA), the building blocks of proteins. Efforts have been made to exploit this vulnerability, seen in many different cancers, by depriving tumors of key AA using naturally occurring compounds. The use of these compounds has been complicated by such factors as the development of immune reactions, yet tumor shrinkage has occurred in several different cancer types, such as melanoma and liver cancer. AERase, Inc. has developed a variation on a



human molecule that promises to be effective in the depletion of a key AA and to be unlikely to cause an immune reaction. Before this compound can be used as a cancer treatment, it must be manufactured and tested in animals and humans. The CPRIT grant will fund cell and animal studies as well as early human trials proposed at clinical sites in Texas.

Company Relocation Awards

Cell Medica is developing a therapy that works with a patient's own T cells to target cancerous antigens (CP120036)

Cell Medica is a cellular therapeutics company developing cellular immunotherapy products for infectious diseases and cancer. CPRIT funding supports activities leading to FDA approval of cell therapies for the treatment of cancers associated with the Epstein Barr virus and for the treatment of cytomegalovirus infections in patients following bone marrow transplants. Cell Medica's U.S. headquarters are in Houston, which facilitates the company's research collaboration with Baylor College of Medicine, Texas Children's Hospital and Houston Methodist Hospital. During the course of its CPRIT-funded project, Cell Medica has received regulatory and ethical approvals for clinical trials in the U.S., U.K., France, Germany and South Korea. The company also received U.S. orphan drug status for treatment in non-Hodgkin lymphoma. Baylor College of Medicine, Texas Children's Hospital and Houston Medical Hospital have treated more than 250 patients with research prototypes of this treatment and report promising clinical results across a range of malignancies.

For a full list of projects in the CPRIT product development portfolio, visit: www.cprit.texas.gov/funded-grants.



CPRIT PEER REVIEW

Rigorous, independent merit-based peer review is the foundation of all of CPRIT’s grant programs and the primary means for ensuring that the Institute prudently invests the funds committed by the people of Texas to academic research, product development research, and prevention programs with the greatest potential impact on cancer. From the Institute’s inception, the peer review process has included multiple safeguards to address potential conflicts of interest and ensure both fairness and accountability. Further enhancements were made to the process in fiscal year 2014 pursuant to the recommendations of the State Auditor and the provisions of Senate Bill 149.

CPRIT Prevention, Academic Research and Product Development Research Peer Review Processes

The following tables show the process in effect for prevention, academic research and product development research program grants as of the end of fiscal year 2015.

CPRIT PREVENTION PEER REVIEW PROCESS

<p>STEP 1 Request for Application (RFA)</p>	<p>CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT’s email newsletter and the Texas Register.</p>
<p>STEP 2 Applying Online</p>	<p>Applicants submit proposals using CPRIT’s online application receipt system (www.cpritgrants.org) Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and only for the grant mechanism under which the grant application was submitted.</p>
<p>STEP 3 Administrative Review</p>	<p>Applications submitted by the deadline are checked for compliance against the application’s administrative requirements and may be withdrawn at this step.</p>
<p>STEP 4 Reviewer Conflict of Interest (COI) Identification</p>	<p>Experts and advocates in cancer prevention are recruited by panel chairs, provisionally appointed by CPRIT’s CEO and approved by the Oversight Committee (OC). The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers identify which applications match their area of expertise and flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.</p>
<p>STEP 5 Reviewer Assignment</p>	<p>Peer reviewers are assigned to panels in their area of expertise. At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT’s website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process.</p>



<p>STEP 6 Initial Scoring</p>	<p>An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.</p>
<p>STEP 7 Panel Discussion</p>	<p>The full peer review panel (12-15 reviewers) discusses the applications. If there is insufficient time to discuss all grant applications, the Review Panel chair determines applications to be discussed. After discussion, each panel member provides individual overall scores that are averaged to provide a final overall score. A reviewer with a conflict of interest for an application recuses themselves from the discussion and scoring of that application.</p>
<p>STEP 8 Final Scoring</p>	<p>Based upon the discussion and the scores, the peer review panel develops a rank ordered list of applications it recommends for grant awards. A final overall score and a summary statement of the reviewers' comments are provided to each applicant.</p>
<p>STEP 9 Review Council Recommendation</p>	<p>The Prevention Review Council, consisting of the Chair and panel chairs, considers the panels' recommendations and conducts a programmatic review. Criteria considered during programmatic review are spelled out in the RFA. The Council assigns a numerical ranking score to each application. The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO and the OC. Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p>
<p>STEP 10 Program Integration Committee (PIC) Review</p>	<p>The Program Integration Committee (PIC) considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.</p>
<p>STEP 11 Oversight Committee Action</p>	<p>The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the OC members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p>
<p>STEP 12 Grant Award Contract</p>	<p>All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements.</p>



CPRIT ACADEMIC RESEARCH PEER REVIEW PROCESS

<p>STEP 1 Request for Application (RFA)</p>	<p>CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT’s email newsletter and the Texas Register.</p>
<p>STEP 2 Applying Online</p>	<p>Applicants submit proposals using CPRIT’s online application receipt system (www.cpritgrants.org). Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and applications are eligible only for the grant mechanism under which the grant application was submitted.</p>
<p>STEP 3 Administrative Review</p>	<p>Applications submitted by the deadline are checked for compliance against the application’s administrative requirements and may be withdrawn at this step.</p>
<p>STEP 4 Reviewer Conflict of Interest (COI) Identification</p>	<p>Experts and advocates in cancer research are recruited by panel chairs, provisionally appointed by CPRIT’s CEO and approved by the Oversight Committee (OC). The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.</p>
<p>STEP 5 Reviewer Assignment</p>	<p>Peer reviewers are assigned to panels in their area of expertise. Panel chairs assign applications to primary reviewers (usually three per application). At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT’s website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process. Due to volume, research applications may undergo a preliminary evaluation using the process and criteria specified in the RFA.</p>
<p>STEP 6 Initial Scoring</p>	<p>An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.</p>
<p>STEP 7 Panel Discussion</p>	<p>The full peer review panel (12- 15 reviewers) discusses the applications. If there is insufficient time to discuss all grant applications, the Review Panel chair determines applications to be discussed, based on initial scores. After discussion, each panel member provides individual overall scores that are averaged to provide a final overall score.</p>



<p>STEP 8 Final Scoring</p>	<p>Based upon the discussion and the scores, the peer review panel develops a rank ordered list of applications it recommends for grant awards. A final overall score and a summary statement of the reviewers' comments are provided to each applicant.</p>
<p>STEP 9 Review Council Recommendation</p>	<p>The Scientific Review Council, consisting of the Chair and panel chairs, considers the panels' recommendations and conducts a programmatic review. Criteria considered during programmatic review are spelled out in the RFA. The Council assigns a numerical ranking score to each application. The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO and the OC. Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p>
<p>STEP 10 Program Integration Committee (PIC) Review</p>	<p>The Program Integration Committee (PIC) considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.</p>
<p>STEP 11 Oversight Committee Action</p>	<p>The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the OC members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p>
<p>STEP 12 Grant Award Contract</p>	<p>All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements.</p>

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



CPRIT PRODUCT DEVELOPMENT RESEARCH PEER REVIEW PROCESS

<p>STEP 1 Request for Application (RFA)</p>	<p>CPRIT releases a Request for Application (RFA) via the website, subscribers to CPRIT’s email newsletter and the Texas Register.</p>
<p>STEP 2 Applying Online</p>	<p>Applicants submit proposals using CPRIT’s online application receipt system (www.cpritgrants.org). Applicants must include information about all sources of funding, including private investors. Only applications submitted via the designated electronic portal are eligible for consideration of a grant award and only for the grant mechanism under which the grant application was submitted.</p>
<p>STEP 3 Administrative Review</p>	<p>Applications submitted by the deadline are checked for compliance against the application’s administrative requirements and may be withdrawn at this step.</p>
<p>STEP 4 Reviewer Conflict of Interest (COI) Identification</p>	<p>Experts and advocates in development of products related to cancer research are recruited by panel chairs, provisionally appointed by CPRIT’s CEO and approved by the Oversight Committee (OC). The reviewers access a non-confidential summary, a list of key personnel and sources of funding for every application. Reviewers identify which applications match their area of expertise and flag potential COI. Some categories of COI may excuse a reviewer from reviewing any application submitted under the same grant mechanism.</p>
<p>STEP 5 Reviewer Assignment</p>	<p>Peer reviewers are assigned to panels in their area of expertise. At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT’s website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process.</p>
<p>STEP 6 Individual Evaluation and Scoring</p>	<p>An eligible application undergoes a rigorous peer review; the proposal is evaluated by (usually three or four) primary reviewers who provide an individual overall score. Individual overall scores are averaged to produce a single initial overall score for the application.</p>
<p>STEP 7 Panel Discussion</p>	<p>The full peer review panel (12-15 reviewers) meets by teleconference and discusses the applications. After discussion, the primary reviewers may adjust their initial scores. The primary reviewers’ individual overall scores are then averaged to provide an overall evaluation score for the application; the score and a summary statement of the reviewers’ comments are generated for each application that does not move forward for further review. A reviewer with a conflict of interest for an application recuses themselves from the discussion and scoring of that application.</p>



<p>STEP 8 In Person Presentations</p>	<p>Applicants with sufficiently positive scores after the panel discussion are invited to present their proposal to the full review panel and answer reviewer questions. Following the presentation, the reviewers discuss the application and all reviewers individually submit an overall score for the application. The individual overall scores are then averaged to provide a final overall evaluation score for the application; the score and a summary statement of the reviewers' comments are provided to each applicant. A reviewer with a conflict of interest for an application recuses themselves from the discussion and scoring of that application.</p>
<p>STEP 9 Due Diligence Review</p>	<p>The applications that score sufficiently well after the in-person presentation undergo due diligence review conducted by outside contractors hired by CPRIT and overseen by the Chief Product Development Officer. Due diligence involves an in-depth evaluation of the proposal's underlying intellectual property, clinical trial design, regulatory affairs, manufacturability of product, marketing, etc. The due diligence reports are provided to the primary reviewers and the Product Development Review Council for their consideration.</p>
<p>STEP 10 Review Council Recommendation</p>	<p>Following a discussion of the due diligence reports, the Review Council conducts a programmatic review and decides which applications should be recommended for CPRIT grant funding. Criteria considered during programmatic review are spelled out in the RFA. All Product Development applications recommended for grant funding are numerically ranked by the Review Council and submitted to the Program Integration Committee (PIC). The Council specifies and explains changes, if any, to the applications' goals, objectives, budget or timeline and these are provided to both the CEO (as Chair of the PIC) and the OC. Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p>
<p>STEP 11 Program Integration Committee (PIC) Review</p>	<p>The PIC considers the prioritized list of applications submitted by the Program Review Councils and approves by a majority vote a final list of applications to be recommended to the OC. The PIC includes an explanation for its recommendations.</p>
<p>STEP 12 Oversight Committee Action</p>	<p>The CPRIT CEO forwards the PIC's recommendations and provides an affidavit that each application complied with CPRIT's submission and review process. Two-thirds of the OC members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p>
<p>STEP 13 Grant Award Contract</p>	<p>All CPRIT grants are awarded through a contract that specifies the responsibilities and obligations of the award recipient and reflects certain reporting and legal requirements, including revenue sharing terms and agreed upon milestones.</p>



Review Councils

The Institute's three review councils—the Scientific Review Council, Prevention Review Council, and Product Development Review Council—oversee the peer review of all applications submitted to CPRIT. Members of the review councils chair the peer review committees within each program area. The councils assess the evaluations completed by the peer review committees and create a final list of proposals recommended for CPRIT grant awards.

Pursuant to Senate Bill 149, the review councils submit their lists of recommendations simultaneously to the presiding officers of the CPRIT Program Integration Committee and the Oversight Committee. The Program Integration Committee then forwards its final recommendations to the Oversight Committee, which approves awards by a two-thirds vote at a public meeting.

Scientific Review Council members:

<http://www.cprit.texas.gov/grants-process/peer-review-committees/research-reviewers/>

Prevention Review Council members:

<http://www.cprit.texas.gov/grants-process/peer-review-committees/prevention-reviewers/>

Product Development Review Council members:

<http://www.cprit.texas.gov/grants-process/peer-review-committees/productdevelopment-reviewers/>



CPRIT COMPLIANCE PROGRAM

Established by the CPRIT Oversight Committee and later codified by Senate Bill 149, the compliance program is mandated “to assess and ensure compliance by the Institute’s committee members and employees with applicable laws, rules and policies.” The compliance program is also statutorily required to provide fiscal and administrative oversight of all CPRIT grants through review of grantee processes to ensure compliance with rules, regulations, and laws, as well as internal codes of conduct, policies and procedures.

CPRIT Employee and Oversight Committee Compliance

One purpose of the compliance program is to ensure that each CPRIT employee and Oversight Committee member complies with reporting and training requirements as provided in state laws, agency rules and policies. All CPRIT employees verify that they have read the Standards of Conduct, completed annual ethics training, signed a non-disclosure agreement and attest that they have no outside employment that conflicts with their CPRIT employment. In addition to completing all conflict of interest and training requirements, CPRIT Oversight Committee members submit annual personal financial statements and disclose all political contributions over \$1,000.

Grant Award Compliance

The compliance program also works to oversee that all grants, from the time of application submission through project completion, comply with agency processes and procedures in place at the time of the award. Each step in the application process is documented in a grant pedigree developed for each grant award. The pedigree provides documentation and assurance to the Program Integration Committee (PIC) and the Oversight Committee that each grant award has met statutory requirements, administrative rules and Institute procedures. The pedigree begins with pre-receipt compliance activities, covering the approval of the Request For Applications (RFAs) by the respective program officer through the submission of grant applications in the CPRIT Application Receipt System (CARS). The pedigree then goes on to verify the procedural stages through administrative review of the application, assignment to a peer review panel, peer review meeting, review council, PIC, and up to and through the Oversight Committee’s final decision on the application.

Post Award Grant Monitoring

Pursuant to V.T.C.A., Texas Health and Safety Code, Chapter 102, CPRIT continuously monitors and ensures that each grant recipient complies with the terms and conditions of its grant contract. CPRIT is required to track the dates grant recipient reports are due and monitor the status of any required report that is not timely submitted. To facilitate and monitor the submission of reports, CPRIT maintains an electronic grants reporting and monitoring system. As reports are received, they are reviewed by CPRIT programmatic and finance staff to ensure that they comply with all applicable laws and reporting rules.



CPRIT began building a grant monitoring team in fiscal year 2014 by hiring grant specialists and converting a current position to serve as a grant specialist manager. An additional grant specialist was hired in fiscal year 2015. Grant specialists play a key role in the compliance process by focusing their efforts on assisting in the completion of risk assessments, performing pre-payment reviews of grant reimbursements, executing desk and on-site reviews, providing technical assistance to grant recipients and conducting on-site training of grant recipients as required.

The grant specialists focused much of their efforts in fiscal year 2015 conducting pre-payment reviews of grant reimbursements and providing verification that the initial reviews were thorough, consistent, and compliant with CPRIT's statutes, rules and procedures. In addition to these reviews, grant specialists began assisting in grantee training and technical assistance, developing a grantee onboarding and annual training process, and implementing a preventative desk and on-site review process for current grant recipients.

Risk Assessment Model

CPRIT's compliance plan calls for the completion of an initial, comprehensive risk analysis of awarded grants and annually thereafter, with the goal of determining monitoring coverage, type, priority, recommended staffing, and monitoring schedules for adequate oversight of grant recipients and associated grants. In April 2015 CPRIT contracted with an independent auditing firm to provide compliance program support services and to complete a grantee risk assessment to serve as the basis for identifying grantee entities to be reviewed and updated quarterly.

The Risk Assessment Model considers several factors in determining grantee risk, including:

- Financial exposure;
- Entity maturity; and
- Prior experience administering grants.

Based on the results of the risk assessment, grantees receive varying levels of compliance monitoring. Methods of compliance monitoring may include a self-certification, a desk review, an onsite review, or a combination of these. The Risk Assessment Model yields a prioritized list of grantees to monitor, which was used to develop the grant monitoring plan for fiscal year 2016.

Fraud, Waste, and Abuse Hotline

Effective July 2015 CPRIT implemented a compliance and ethics hotline that allows individuals to report any concerns regarding fraudulent activity/theft, misconduct, safety violations, or unethical behavior. This service is not run by CPRIT employees and allows users to remain completely anonymous if they choose.



The establishment of a hotline is consistent with amendments, passed in 2013, to the Texas Health & Safety Code, Chapter 102, and is part of CPRIT's ongoing efforts to ensure that the agency has strong internal controls and to protect the integrity of CPRIT's grant process, as well as Texas taxpayer dollars. This reporting mechanism is available to Oversight Committee members, CPRIT employees, CPRIT grantees and the general public. Information regarding the hotline was communicated via CPRIT's Grant Management System (CGMS), CPRIT's website and listserv, and has been included in grantee training material.

Conflict of Interest Information for Fiscal Year 2015

The following conflict of interest information is applicable for grants awarded in fiscal year 2015:

- A list of conflicts of interest that require recusal: See Appendix Section 1
- Any unreported conflicts of interest confirmed by an investigation conducted by CPRIT: None
- Any waivers to CPRIT's conflict of interest rules: See Appendix Section 2



FINANCIALS

FINANCIAL SUMMARY (UNAUDITED) - FOR THE YEAR ENDED AUGUST 31, 2015	
Revenues	
Legislative Appropriations	\$297,030,446
License, Fees, and Permits	77,470
Interest Income	82
Other	15,323
Total Revenues	\$297,123,321
Expenses	
Salaries and Wages	\$2,975,581
Other Personnel Cost	534,763
Professional Fees and Services	12,206,391
Consumable Supplies	55,136
Utilities	143,351
Travel	72,975
Rent - Building	227,065
Rent - Machine and Other	25,470
Other Operating Expenses	203,412
Grants	148,993,530
Capital Expenditures	699,679
Total Expenses	\$166,137,353
Excess of Revenues Over Expenses	\$130,985,968



Financial Position

Executive management of CPRIT is responsible for establishing and maintaining adequate internal control over financial reporting and compliance with applicable laws, regulations, contracts, and grant agreements, as well as other matters.

McConnell & Jones LLP, a public accounting firm, audited CPRIT's financial statements for the year ended August 31, 2015, ascertaining that the statements "present fairly, in all material respects, the respective financial position of the governmental activities and governmental funds information of CPRIT as of August 31, 2015, and the respective changes in financial position for the year then ended in accordance with U.S. GAAP."

As part of the audit of the financial statements, McConnell & Jones LLP performed tests of CPRIT's compliance with certain provisions of laws, regulations, contracts, and grant agreements to ensure that the statements are free from material misstatements. McConnell & Jones LLP identified areas of noncompliance or other matters required to be reported under Government Auditing Standards but expressed no opinion on these matters since they were not within the objective of the audit.



PLANNING

Program Priorities Planning for FY 2016

CPRIT is governed by V.T.C.A., Health and Safety Code, Chapter 102. Legislation from the 83rd Texas Legislature modified that code to include enhancements to CPRIT's governance and operations. One of the specific enhancements requires CPRIT's Oversight Committee to establish program priorities on an annual basis. The priorities are intended to provide transparency in how the Oversight Committee orients the agency's funding portfolio between and within its three programs as well as guide CPRIT staff and review councils on the development and issuance of program-specific Requests for Applications (RFAs) and the evaluation of applications submitted in response to those RFAs. The Oversight Committee priorities are to be reviewed and adjusted annually as circumstances change and new information is found concerning cancer-related advances in prevention, academic research and product development research.

The program priorities were first adopted at the November 19, 2014, Oversight Committee meeting. The Oversight Committee program subcommittees reviewed the 2014 report and presented their recommendations for fiscal year 2016 to the full Oversight Committee on November 19, 2015, for consideration. The report as approved by the Oversight Committee can be found at www.cprit.texas.gov/about-cprit/reports/. For fiscal year 2016, these program priorities will guide the development of RFAs and the evaluation of proposals submitted in response to the RFAs.

Texas Cancer Plan

The Texas Cancer Plan (V.T.C.A., Health and Safety Code, Section 102 .002) aims to reduce the cancer burden across the state and improve the lives of Texans. As the unmistakable call to action for cancer research, prevention and control, the Plan identifies the challenges and issues that affect Texas and presents goals, objectives and strategies to help inform and guide communities in the fight against cancer. The intent is to provide a coordinated, prioritized and actionable framework to guide efforts to mitigate the human and economic burden of cancer in Texas. The Plan is developed with input provided from organizations and institutions, community leaders, planners, coalition members, cancer survivors, and family and friends affected by cancer.

The Plan was significantly revised and re-released in April 2012. It outlines 16 specific goals with measureable objectives, baselines and targets for change, and also identifies five high-impact priority areas for 2012-2016, each poised to yield significant returns over the next four years. The areas were selected based on cancer trends, health disparities and available evidence-based strategies. They are:

- Decreasing tobacco initiation and use, and exposure to second hand smoke;
- Increasing screening and early detection for breast, cervical, and colon and rectal cancers;
- Reducing pain and suffering from cancer through coordinated supportive care;
- Reducing cancer health disparities; and
- Increasing opportunities to access and participate in clinical trials.



By statute, CPRIT is charged with facilitating the development of the Plan and supporting its implementation. However, the overall outcome and success of the Plan depends on the cooperation, collaboration and resources of many stakeholders throughout Texas. The Institute's strategic direction and funding opportunities align with the Plan but will, by necessity, be a subset of the overall implementation of the Plan.

The Institute is also required to describe the activities undertaken by the Institute to monitor the Texas Cancer Plan in this report. Over the past year, CPRIT has worked with Department of State Health Services (DSHS) and the Cancer Alliance of Texas (CAT) to monitor the plan. When the Plan was developed, DSHS provided the baseline metrics using 2011 data that were available at the time. DSHS provided an update with available 2012 and 2013 data. This information was shared with the Cancer Alliance of Texas (CAT), which used the data to draft an interim report that was published in September 2015. www.cprit.texas.gov/about-cprit/reports/

CPRIT Strategic and Financial Plan

CPRIT has always sought to fund the most meritorious projects from Texas scientists, clinicians, institutions and organizations through a variety of grant mechanisms, within the funding criteria identified by statute, by the Institute and within each RFA. Going forward, this process will continue but will be supplemented by the Oversight Committee's approval of program priorities. These priorities inform each of CPRIT's grant-making steps to influence its investments towards the Oversight Committee's priorities.

Academic Research

The Institute fosters cancer research in Texas by providing financial support for a wide variety of cancer-related research projects. Impact is the single most important criterion for the award of CPRIT funding: Will the proposal, if successful, change the way that other scientists think about and conduct their own research? Will it change the way that physicians evaluate and treat their patients?

The potential for scientific discoveries that will make a meaningful difference to cancer patients can occur at any stage in the research process. CPRIT encourages innovation by offering several types of grants that address research at various development stages, spanning the spectrum from basic science to translational research and clinical applications. Similarly, research grants awarded by the Institute vary in amount and duration – from the relatively modest short-term projects targeting early-stage ideas to the complex, multi-year research programs at several laboratories and research facilities throughout the state that may take a life-saving drug through its final stages of development.

To stimulate a diverse portfolio of cancer research projects, CPRIT issues Requests for Applications tailored to support particular projects, including projects led by a single investigator, multi-disciplinary collaborative scientific and clinical teams, or research projects undertaken at public and private companies in Texas. CPRIT has initiated several awards to enhance and expand the research infrastructure of the state. One such award is a CPRIT Scholar in Cancer Research program to recruit exceptional researchers to Texas universities and/or cancer research institutions to enhance innovative programs of excellence by providing scientific and programmatic support for promising first-time, tenure-track faculty; scientists with a critical



expertise to enhance a collaborative research team; as well as rising stars and established outstanding scientific investigators. This program, together with cancer research training awards for undergraduate and graduate students at Texas academic institutions, should enhance Texas' research capability for years to come as well as increase participation by individuals from underrepresented groups in national and state research activities.

Prevention

CPRIT's prevention grant awards make it possible for prevention strategies and services to reach more Texans to decrease the burden of cancer. The Institute funds both the delivery of prevention and early detection programs and services, and research into better means of prevention and early detection.

The ability to reduce cancer death rates depends, in part, on more broadly applying strategies currently available. Effective evidence-based strategies exist but are currently not being deployed in all communities in Texas. Through prevention programs, CPRIT invests in building understanding of and the capacity to deliver effective community-based interventions so that new technologies and services are made available to all.

Despite successes in reducing cancer incidence and mortality, Texas cannot become complacent and should continue cancer prevention and early detection programs. Unique projects and new partnerships that apply evidence-based programs and services in novel ways could increase rates of recruitment, provision of services, early detection, and ultimately survival rates.

Specifically, CPRIT seeks to fund projects that will:

- Offer effective and efficient prevention programs and services based on the existing body of knowledge about and evidence for cancer prevention in ways that exceed current performance in a given service area;
- Provide tailored, culturally appropriate, and accurate information on early detection and prevention to the public that results in sustained behavior change and a direct measurable health impact;
- Provide effective and innovative outreach strategies to educate the public, and also increase recruitment into appropriate clinical screening and survivorship programs and services that demonstrate increased rates of early-stage cancer diagnosis and improved quality of life;
- Provide access to state-of-the-art preventive services to individuals;
- Target delivery of preventive services to areas and populations in the state with the greatest need; and
- Deliver evidence-based survivorship services aimed at reducing the after-effects of cancer diagnosis and treatment.

Population priorities include:

- Medically underserved or unserved populations;
- Geographically or culturally isolated populations;



- Underinsured and uninsured individuals – focusing on individuals who are significantly out of compliance with nationally recommended screening guidelines;
- Populations with low health literacy skills;
- Racial, ethnic, and cultural minority populations; and
- Any other populations with low screening rates, high incidence rates, high cancer risk factors and high mortality rates.

Product Development Research

Because groundbreaking research is most valuable when it can be translated into products that are available to Texans, a crucial component of CPRIT's mission is to create and promote the movement of new cancer drugs, diagnostics and therapies from the laboratory to the patient. CPRIT's ability to promote product development pathways distinguishes it from more traditional cancer research funding sources.

By engaging the private sector and encouraging entrepreneurial approaches, Texas should see a return on its investment in research and enhance the chance for breakthrough cancer-related technologies. This benefits Texans in a variety of ways, including the introduction of new products; the creation of new, highly skilled jobs; increased economic activity; expansion of the biotech life sciences industry; enhanced state revenues; reduced health care costs; and improved productivity.

The guiding principles of the product development program are threefold:

- A significant improvement in cancer patient care as a result of CPRIT's efforts;
- A positive impact on economic development in Texas; and
- Returns from the investments made in product development.

New products and increased economic activity are realized when knowledge gained by CPRIT researchers is brought into the public domain through intellectual property agreements that encourage additional investment from the private sector to develop and commercialize new products. Texas law requires all grant award contracts issued by the CPRIT to include an intellectual property agreement that allows the state to collect royalties, income and other benefits realized as a result of Institute-funded projects. CPRIT's intellectual property policies are designed to promote the efficient and diligent development of diagnostics and therapies into new products that benefit Texans.

CPRIT's product development research awards are designed to find and fund innovative companies already in the state or willing to relocate to Texas to develop new therapies and to build and sustain the state's life sciences infrastructure. Eligible stages of development for these awards include translational research, proof-of-concept studies, preclinical studies and Phase I or Phase II clinical trials. Phase III clinical trials and other later-stage projects are considered when circumstances warrant CPRIT investment.



Strategic Direction and Priorities

CPRIT has followed the lead of organizations such as the National Cancer Institute (NCI), the American Cancer Society, the LIVESTRONG Foundation, and Susan G. Komen to establish a scientific peer review process through which prevention, academic research and product development research grant proposals are thoroughly vetted and scored. Scientific peer review provides an objective evaluation of the proposed hypothesis, methodology to prove the hypothesis and prospective findings. Because CPRIT makes awards only to organizations in Texas, it recruits scientific experts who live and work outside of Texas to participate on the peer review panels to reduce any potential conflict of interest between the reviewers and the proposals under review.

The National Cancer Institute has officially designated CPRIT as a NCI-approved funding entity. This certification involves a comprehensive assessment of CPRIT's peer review process to ensure that it conforms to National Institutes of Health standards, including conflict of interest protections.

The Institute's designation as a NCI-approved funding entity is important because it means that the four comprehensive cancer centers in Texas are able to include CPRIT research grant funding as part of their research base calculations to maintain or earn NCI Cancer Center designation. This enhances Texas' ability to leverage additional federal funding for cancer research and raises Texas' profile as a center for cancer research.

Any research proposals received from companies require an additional due diligence review to determine if a commercial path for the prospective discovery exists to make it available in health care practice to cancer patients for treatment or to the general population as a preventive measure, such as a vaccination. This review is unique to CPRIT among cancer grant-making organizations and ensures that CPRIT only invests in research on discoveries with the highest probability of reaching and benefiting Texans as soon as possible.

CPRIT outsources the management of its online application system and proposal review process along with the coordination of its peer review meetings to SRA International, Inc. SRA International's depth of scientific and information technology expertise has efficiently and effectively supported CPRIT's processes from the beginning of the grant cycle with RFAs to the end with peer reviewers' recommendations.

Funding decisions for research awards are based on 10 core principles laid out in state law (V.T.C.A., Health and Safety Code, Chapter 102). These principles address funding proposals that:

- 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;
- 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 non-profit entity and institution or institutions of higher education;
- Are collaborative between any combination of private and non-profit 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 Texas;
- Enhance research superiority at institutions of higher education in Texas by creating new research superiority, attracting existing research superiority from institutions not located in Texas, or enhancing existing research superiority by attracting from outside Texas additional researchers and resources; and
- Expedite innovation and product development, 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.

In fiscal year 2015, the Institute's budget included \$296,895,786 to support these initiatives, allocated as follows:

- Evidence-based Prevention Awards: \$27,890,646
- Academic and Product Development Research Awards: \$249,449,488
- Administrative Operations: \$3,490,411
- Grant Review and Award Operations: \$16,065,241



CURING CANCER: WHERE ARE WE TODAY?

A Q&A with CPRIT Chief Scientific Officer Dr. Margaret Kripke

How likely is it that we will be able to cure cancer in the near future?

Actually, cancers are being cured every day. Around two-thirds of people who develop cancer remain cancer-free for five or more years, more than half are cured of their disease, and the number of cancer survivors grows daily. For people who are not cured by today's treatments, we continue to investigate new approaches. It is unlikely that there will be a single breakthrough that will lead to the cure of all cancers. That is because there are many different types of cancer that require different treatments. Not only are cancers of the lung different from breast cancers, but there are many different subtypes of lung and breast cancers, each of which may require a different treatment. Although we are making steady gains in providing new, less toxic treatments for cancer, it will be a long time before we have an effective therapy for every cancer type.

Why is cancer so difficult to cure?

In addition to the fact that there are many different subtypes of cancer, each of which may require a different treatment, cancer cells have two characteristics that make them a challenge to treat. One is their ability to spread to other sites of the body (metastasis). This means that removing the original cancer by surgery or radiation will not necessarily cure the disease, which can appear elsewhere in the body months or even years after removal of the primary cancer. Thus, some type of systemic therapy is generally required to eliminate cancer cells that have already spread at the time of diagnosis. The second characteristic is the ability of cancer cells to develop resistance to chemotherapy and radiation. Most cancers have the ability to change their properties, so that they become resistant to treatment. Just like the common cold virus or the influenza virus, cancer cells can change, or mutate, to become resistant to therapy. When one treatment becomes ineffective, another one is needed, but in many cases, no other options are available.

What are the most promising avenues of cancer research today?

Research in recent years has revealed that cancer cells have changes in their DNA that distinguish them from normal cells. Some of these changes enable the cells to escape the normal processes that control cell division and cell death. Finding new drugs that target these changes is an intense area of investigation. Such drugs would act against the cancer cells, but would not harm normal cells, thus sparing patients the toxicity that accompanies current chemotherapy. An example of such targeted therapy is Gleevec, which destroys cancer cells having a particular mutation in their DNA. Many more such drugs are under development. Another promising avenue is early detection. Cancers that are found early are more easily cured than advanced cancers that have already spread to distant organs. Many current efforts are directed to development of new screening tests for cancer, particularly pancreatic and ovarian cancers, which are often diagnosed late and are therefore very difficult to cure. Another important focus is using the body's immune system to combat cancer. New findings regarding how the immune system is controlled are being applied to the treatment of melanoma skin cancers with considerable success. Current research is attempting to extend these findings to other types of cancer.



What would make the biggest difference in reducing the burden of cancer?

Eliminating tobacco use would have the most dramatic effect on reducing cancer incidence and cancer deaths. In the United States alone, deaths from lung cancer would be reduced by 80 percent, and deaths from all cancers would be reduced by 30 percent within 20 years after people stopped using tobacco. Other approaches to preventing cancer, such as exercise, better eating habits, and removing toxic chemicals from the environment would also reduce the incidence of cancer over time. Preventive measures have the added benefit of sparing people from the emotional, physical, and financial toll resulting from a cancer diagnosis. After prevention, the next biggest difference would result from early detection of cancer, for the reasons stated above. For cancer treatment, understanding the mechanisms by which cancer cells become resistant to therapy and finding ways to counteract them is critical to ensuring the effectiveness of all forms of treatment. Finally, improving the access of underserved populations to today's standard of cancer care would also reduce the burden of cancer and would help to address the large disparities in outcomes of cancer treatment that result from differences in socio-economic status.

How is CPRIT addressing these challenges?

CPRIT's prevention program is bringing cancer risk reduction, screening and survivor programs to rural and underserved populations across the state. These efforts help people reduce the risk of getting cancer, identify cancer earlier and assist them in finding appropriate cancer treatment options, thus reducing the overall burden of cancer in the state. The research program is helping research institutions to recruit the most talented cancer researchers to Texas. It also supports cutting-edge research projects that range from understanding how cancer cells are formed, spread, and develop resistance, to development of new anti-cancer drugs and new tools for cancer diagnosis and imaging. The product development program is moving the advances in research out of the laboratory and into the development of devices, drugs, and biological agents for use in cancer detection and treatment.

APPENDIX: CONFLICT OF INTEREST DOCUMENTATION

CONFLICT OF INTEREST LISTING

For each peer review panel (Prevention, Scientific Research, and Product Development) during fiscal year 2015, a list of peer reviewers with a conflict of interest is provided. Conflicts of interest reported by Oversight Committee members are also listed. This document includes the CPRIT program type, grant application number, principal investigator, institution, and the name of the peer reviewer with a conflict of interest. There were no unreported conflicts of interest or investigations in fiscal year 2015.

PEER REVIEW CERTIFICATION OF NON-PARTICIPATION IN EVALUATION OF INDIVIDUAL APPLICATIONS BECAUSE OF REAL OR APPARENT CONFLICT OF INTEREST

The third party grant review administrator's representative certifies that the reviewer identified as having a conflict of interest has signed this form and left the panel room or the teleconference call during the discussion of the application. This document includes the CPRIT program and name of panel, the meeting type (on-site or teleconference), the date, application number, principal investigator, institution, reviewer name and signature, and the grant review administrator's name.

Information related to steps taken by the Oversight Committee members with conflicts of interest are reflected in the publicly available meeting minutes.

FY 2015 CONFLICT OF INTEREST WAIVERS

Conflict of interest waivers are granted through a process established under Section 102.1062. For FY 2015, waivers were approved by the Oversight Committee on August 20, 2014, for Dr. Margaret Kripke, Dr. David Lakey and Will Montgomery; February 18, 2015, for Donald Brandy; and April 20, 2015, for Kirk Cole. Individual post review statements signed by each committee member are not included in this appendix due to the large number of pages, but they are available for public viewing on the Compliance page of the CPRIT website at www.cprit.texas.gov.

APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

PREVENTION



**Conflicts of Interest for Prevention Cycle 15.1 Applications
(Prevention Cycle 15.1 Awards Announced at November 2014 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. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications Considered by the PIC and Oversight Committee			
PP150025	McClellan, David	Texas A&M University System Health Science Center	Mitchell, Amy
PP150031	Misra, Subhasis	Texas Tech University Health Science Center	Mitchell, Amy
PP150004	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Mitchell, Amy
PP150012	Schmeler, Kathleen	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
PP150009	Byrd, Theresa	Texas Tech University Health Sciences Center	Brandt, Heather; Mitchell, Amy
Applications Not Recommended for PIC or Oversight Committee Consideration			
PP150003	Foxhall, Lewis	The University of Texas MD Anderson Cancer Center	Mahoney, Martin
PP150019	Parra-Medina, Deborah	The University of Texas Health Science Center at San Antonio	Brandt, Heather; Green, Lawrence

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Prevention Programs**

Panel: Panel A 15.1

Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
10/1/14	PP150003	Foxhall, Lewis	The University of Texas M. D. Anderson Cancer Center	Mahoney, Martin	Verified telephonically and left WebEx	Morgan Majchrzak MM
10/1/14	PP150009	Byrd, Theresa	Texas Tech University Health Sciences Center	Brandt, Heather	Verified telephonically and left WebEx	Morgan Majchrzak MM
10/2/14	PP150019	Parra-Medina, Deborah	The University of Texas Health Science Center at San Antonio	Brandt, Heather	Verified telephonically and left WebEx	Morgan Majchrzak MM
10/2/14	PP150019	Parra-Medina, Deborah	The University of Texas Health Science Center at San Antonio	Green, Lawrence	Attended only part of the meeting, was not present during review of this application	Morgan Majchrzak MM

SRA Approval:

Name (PRINT):	Morgan Majchrzak
Signature:	<i>Morgan Majchrzak</i>
Date:	10/2/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

Procurement Sensitive Document

Do not copy or circulate without written permission.

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Panel A 15.1

Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	
Signature:	
Date:	

Comments:

--

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

Procurement Sensitive Document

Do not copy or circulate without written permission.

Conflicts of Interest for Prevention Cycle 15.2 Applications
(Prevention Cycle 15.2 Awards Announced at May 20, 2015, Oversight Committee Meeting)

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Prevention Cycle 15.2 include *Evidence-Based Cancer Prevention Services-Colorectal Cancer Prevention Coalition*; *Evidence-Based Cancer Prevention Services*; *Cancer Prevention Promotion and Navigation to Clinical Services*, and *Competitive Continuation/Expansion-Evidence-Based Cancer Prevention Services*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
PP150054	Foxhall, Lewis	The University of Texas M.D. Anderson Cancer Center	Brownson, Ross; Mahoney, Martin; Cole, Kirk; Mitchell, Amy
PP150078	Arjona, Moises	MHP, Inc. Promoviendo Vidas Saludables	Cole, Kirk
PP150053	Lee, Simon Craddock	The University of Texas Southwestern Medical Center	Mitchell, Amy
PP150061	Argenbright, Keith E	The University of Texas Southwestern Medical Center	Mitchell, Amy
PP150064	Villarreal, Roberto	University Health System	Mitchell, Amy
PP150071	Larson, Adrian F	Val Verde Regional Medical Center	Mitchell, Amy
PP150077	Shinn, Eileen	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
PP150079	Turner, Barbara J	The University of Texas Health Science Center at San Antonio	Mitchell, Amy; Mulrow, Cynthia
PP150086	Ross, Linda	Angelo State University	Mitchell, Amy
PP150089	Rice, Carol A	Texas Agrilife Extension Service	Mitchell, Amy

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
Applications Not Recommended for PIC or Oversight Committee Consideration			
PP150096*	Wiechnicki, Katherine	Texas Department of State Health Services	Mahoney, Martin; Momrow, David

* = Not discussed


Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2015 Cancer Prevention and Research Institute of Texas Prevention Programs

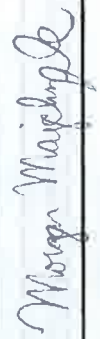
Panel: Prevention Panel 2

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PI Name	Applicant/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
	PP150054	Foxhall, Lewis	The University of Texas M. D. Anderson Cancer Center	Brownson, Ross	not present	Morgan Majchrzak
	PP150054	Foxhall, Lewis	The University of Texas M. D. Anderson Cancer Center	Mahoney, Martin		Morgan Majchrzak
	PP150096	Wiechnicki, Katherine	Texas Department of State Health Services	Mahoney, Martin	not discussed	Morgan Majchrzak
	PP150096	Wiechnicki, Katherine	Texas Department of State Health Services	Momrow, David	not discussed	Morgan Majchrzak

SRA Approval:

Name (PRINT):	Morgan Majchrzak
Signature:	
Date:	2/25/15

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Prevention Programs

Panel: Prevention Panel 1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	Morgan Maginnak
Signature:	<i>Morgan Maginnak</i>
Date:	3/24/15

Comments:

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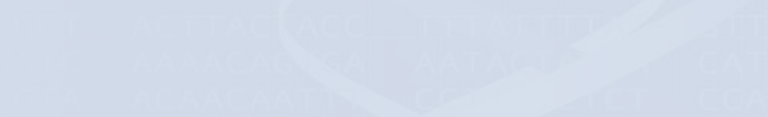
* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

ACADEMIC RESEARCH



**Conflicts of Interest for Scientific Research Cycle 15.1 Applications
(Scientific Research Cycle 15.1 Awards Announced at February 18, 2015 Oversight
Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Scientific Research Cycle 15.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, 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 SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications Considered by the PIC and Oversight Committee			
RP150006	Konopleva, Marina	The University of Texas M.D. Anderson Cancer Center	Mullighan, Charles; Mitchell, Amy
RP150014	Vernon, Sally	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Mitchell, Amy
RP150030	Wargo, Jennifer	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150032	Li, Xiao-Nan	Baylor College of Medicine	Baker, Suzanne; Mitchell, Amy
RP150053	Chook, Yuh Min	The University of Texas Southwestern Medical Center	Houchens, David; Sonenberg, Nahum; Mitchell, Amy
RP150079/ RP150079pe	Kadara, Humam	The University of Texas M.D. Anderson Cancer Center	Mucci, Lorelei; Mitchell, Amy
RP150081	Heaney, Jason	Baylor College of Medicine	Mitchell, Amy
RP150084	Song, Min Sup	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150093	Zhang, Xinna	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy

* = Application not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150094	Flores, Elsa	The University of Texas M.D. Anderson Cancer Center	Pure, Ellen; Mitchell, Amy
RP150102	McBride, Kevin	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150129	Song, Yongcheng	Baylor College of Medicine	Mitchell, Amy
RP150148	Piwnica-Worms, Helen	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150164	Leavey, Patrick	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150166/ RP150166pe	Kumar, Addanki	The University of Texas Health Science Center at San Antonio	Kristal, Alan; Mitchell, Amy
RP150179	Lin, Sue-Hwa	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150195	Shureiqi, Imad	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150197	Xu, Jianming	Baylor College of Medicine	Mitchell, Amy
RP150224/ RP150224pe	Tyler, Jessica	The University of Texas M.D. Anderson Cancer Center	Edelmann, Winfried; Mitchell, Amy
RP150228	Cinciripini, Paul	The University of Texas M.D. Anderson Cancer Center	Brandon, Thomas; Mitchell, Amy
RP150230	An, Zhinqiang	The University of Texas Health Science Center at Houston	Mitchell, Amy
RP150231	Kalluri, Raghu	The University of Texas M.D. Anderson Cancer Center	Kripke, Margaret ¹ ; Mitchell, Amy
RP150232/ RP150232pe	Edwards, Dean	Baylor College of Medicine	Greene, Geoffrey; Mitchell, Amy
RP150235	Sun, Shao-Cong	The University of Texas M.D. Anderson Cancer Center	Cooney, Kathleen; Mitchell, Amy

¹ Dr. Kripke is not a peer reviewer, but attends peer review meetings as an observer in her capacity as Chief Scientific Officer, which is allowed in her FY2015 COI waiver. Because of the professional relationship between the applicant and Dr. Fidler, out of extreme caution Dr. Kripke chose not to be present when the application was discussed. She also abstained from voting on the application during the PIC meeting.

Application ID	Applicant	Institution	Conflict Noted
RP150242	Parada, Luis	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150245	Hung, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150277	Aguiar, Ricardo	The University of Texas Health Science Center at San Antonio	Mitchell, Amy
RP150282	Gallick, Gary	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150292	Li, Wei	Baylor College of Medicine	Mitchell, Amy
RP150293	Skinner, Heath	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150301	Gopalakrishnan, Vidya	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150316	Neelapu, Sattva	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150319	Ma, Li	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150334	Deneen, Benjamin	Baylor College of Medicine	Baker, Suzanne; Mitchell, Amy
RP150343	Willson, Richard	University of Houston	Mitchell, Amy
RP150346	DiGiovanni, John	The University of Texas at Austin	Angelou, Angelos; Mitchell, Amy
RP150356/ RP150356pe	Medin, Paul	The University of Texas Southwestern Medical Center	Wu, Anna; Mitchell, Amy
RP150386	Schwartz, David	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150403	Killary, Ann	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150405	Gibbons, Don	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy

* = Application not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150408	Stockand, James	The University of Texas Health Science Center at San Antonio	Mitchell, Amy
RP150416	Maurer, Barry	Texas Tech University Health Science Center	Mitchell, Amy
RP150421	Ugaz, Victor	Texas Engineering Experiment Station	Mitchell, Amy
RP150440	Fuqua, Suzanne	Baylor College of Medicine	Fearon, Eric; Greene, Geoffrey; Lawlor, Elizabeth; Roberts, Charles; Mitchell, Amy
RP150440pe	Fuqua, Suzanne	Baylor College of Medicine	Knudsen, Karen; Greene, Geoffrey; Lawlor, Elizabeth; Roberts, Charles; Mitchell, Amy
RP150445	Bishop, Alexander	The University of Texas Health Science Center at San Antonio	Mitchell, Amy
RP150449	Vargas, Gracie	The University of Texas Medical Branch at Galveston	Mitchell, Amy
RP150451/ RP150451pe	Sreekumar, Arun	Baylor College of Medicine	Costello, Joseph; Mitchell, Amy
RP150454	Li, Pingwei	Texas A&M University	Mitchell, Amy
RP150456	Malloy, Craig	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150485	Jiang, Steve	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150498	Chen, Zhijian	The University of Texas Southwestern Medical Center	Mitchell, Amy
Applications Not Recommended for PIC or Oversight Committee Consideration			
RP150022*	Zhao, Hua	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP150041*/ RP150041pe	Pati, Debananda	Baylor College of Medicine	Bhardwaj, Nina; Manfredi, James
RP150046pe	Kim, Jung-whan	The University of Texas at Dallas	Knudsen, Karen

* = Application not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150064pe	Davies, Michael	The University of Texas M.D. Anderson Cancer Center	McMahon, Martin
RP150069*/ RP150069pe	Bhattarai, Shanta	The University of Texas M.D. Anderson Cancer Center	Berbeco, Ross
RP150082*	Nyitray, Alan	The University of Texas Health Science Center at Houston	Brandon, Thomas
RP150095pe	Kurie, Jonathan	The University of Texas M.D. Anderson Cancer Center	Belinsky, Steven
RP150128*/ RP150128pe	Wenzel, Pamela	The University of Texas Health Science Center at Houston	DeClerck, Yves
RP150150*	Wu, Xifeng	The University of Texas M.D. Anderson Cancer Center	Hunter, Kent
RP150154*/ RP150154pe	Paull, Tanya	The University of Texas at Austin	Tomkinson, Alan
RP150165*/ RP150165pe	Hassan, Manal	The University of Texas M.D. Anderson Cancer Center	Petersen, Gloria
RP150167pe	Gong, Zihua	The University of Texas M.D. Anderson Cancer Center	Bardeesy, Nabeel; Petrini, John
RP150173*	Bi, Xiaohong	The University of Texas Health Science Center at Houston	Mitchell, Duane
RP150175/ RP150175pe	Kundra, Vikas	The University of Texas M.D. Anderson Cancer Center	Riddell, Stan
RP150186pe	Keyomarsi, Khandan	The University of Texas M.D. Anderson Cancer Center	Martinez, Maria
RP150188*	Rakheja, Dinesh	The University of Texas Southwestern Medical Center	Lawlor, Elizabeth
RP150201	Hamann, Heidi	The University of Texas Southwestern Medical Center	Barlow, William

* = Application not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150216*/ RP150216pe	Pinney, Kevin	Baylor University	Mitchell, Duane
RP150219*/ RP150219pe	Post, Sean	The University of Texas M.D. Anderson Cancer Center	Tomkinson, Alan
RP150222*/ RP150222pe	Han, Arum	Texas Engineering Experiment Station	Nie, Shuming
RP150225/ RP150225pe	Bondy, Melissa	Baylor College of Medicine	Martinez, Maria
RP150234	Feng, Ziding	The University of Texas M.D. Anderson Cancer Center	Barlow, William; Kristal, Alan; Li, Christopher
RP150251pe	Gunaratne, Preethi	University of Houston	Costello, Joseph
RP150252pe	Cho, Sang	The University of Texas M.D. Anderson Cancer Center	Berbeco, Ross
RP150254*	McNeill, Lorna	The University of Texas M.D. Anderson Cancer Center	Brandon, Thomas
RP150259*/ RP150259pe	Zheng, Yanbin	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP150262*	Beretta, Laura	The University of Texas M.D. Anderson Cancer Center	Barlow, William; Kristal, Alan; Li, Christopher
RP150273*/ RP150273pe	Raj, Ganesh	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP150273pe	Raj, Ganesh	The University of Texas Southwestern Medical Center	Knudsen, Karen
RP150308pe	Nahleh, Zeina	Texas Tech University Health Sciences Center El Paso	Barlow, William
RP150335pe	Lizee, Gregory	The University of Texas M.D. Anderson Cancer Center	Riddell, Stan
RP150344*/ RP150344pe	Mitsiades, Nicholas	Baylor College of Medicine	Roberts, Charles
RP150361	Maitra, Anirban	The University of Texas M.D. Anderson Cancer Center	Niedzwiecki, Donna

* = Application not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150379*	Li, Donghui	The University of Texas M.D. Anderson Cancer Center	Petersen, Gloria
RP150384*	Arun, Banu	The University of Texas M.D. Anderson Cancer Center	Li, Christopher
RP150394pe	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey
RP150399*	Patel, Darpan	The University of Texas Health Science Center at San Antonio	Kristal, Alan
RP150404*/ RP150404pe	Glisson, Bonnie	The University of Texas M.D. Anderson Cancer Center	Riddell, Stan
RP150418*/ RP150418pe	Wang, Wei	Texas Tech University Health Sciences Center	Chen, Xinbin
RP150422*	Jayaraman, Arul	Texas A&M University	Greene, Geoffrey
RP150424/ RP150424pe	Aromougame, Asaithamby	The University of Texas Southwestern Medical Center	Berbeco, Ross
RP150433	Taguchi, Ayumu	The University of Texas M.D. Anderson Cancer Center	Barlow, William; Li, Christopher; Petersen, Gloria; Kristal, Alan
RP150471pe	Castrillon, Diego	The University of Texas Southwestern Medical Center	Bardeesy, Nabeel
RP150479*	Chan, Lawrence	Baylor College of Medicine	Williams, Bart
RP150499*	Decuzzi, Paolo	The Methodist Hospital Research Institute	Rutt, Brian
RP150500*	Vokes, Steven	The University of Texas at Austin	Chazin, Walter
RP150516/ RP150516pe	Liu, Mingyao	Texas A&M University System Health Science Center	Williams, Bart

* = Application not discussed

**Conflicts of Interest for Academic Research Recruitment Cycle 15.2 Applications
(Academic Research Recruitment Cycle 15.2 Awards Announced at February 18, 2015
Oversight Committee Meeting)**

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

Application ID	Nominator	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150025¹	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150032	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150033	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150038	Newton, Howard	Texas A&M University	Mitchell, Amy

¹ RR150025 was withdrawn by the applicant after the PIC meeting but before the Oversight Committee meeting.

**Conflicts of Interest for Academic Research Recruitment Cycle 15.2 Applications
(Academic Research Recruitment Cycle 15.2 Awards Announced at April 20, 2015,
Oversight Committee Meeting)**

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

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150039	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RR150050	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy

**Conflicts of Interest for Academic Research Cycle 15.2 Recruitment Applications
(Academic Research Cycle 15.2 Recruitment Awards Announced at May 20, 2015,
Oversight Committee Meeting)**

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

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150044	Rossky, Peter	Rice University	Mitchell, Amy
RR150054	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Mitchell, Amy
RR150058	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150059	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150062¹	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy

¹ RR150062 was withdrawn by the applicant after the PIC but before the OC.

**Conflicts of Interest for Academic Research Cycle 15.2 Applications
(Academic Research Cycle 15.2 Awards Announced at May 20, 2015, Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Academic Research Cycle 15.2 include *Core Facilities Support Awards*, *High Impact/High Risk Research Awards*, and *Multi-Investigator 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 SRA International, CPRIT’s third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RP150535	Meric-Bernstam, Funda	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RP150551	An, Zhiqiang	The University of Texas Health Science Center at Houston	Mitchell, Amy
RP150559	Burgess, Kevin	Texas A&M University	Mitchell, Amy
RP150573	Schmid, Sandra	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150574	Li, Rong	The University of Texas Health Science Center at San Antonio	Mitchell, Amy
RP150578	Davies, Peter	Texas A&M University System Health Science Center	Mitchell, Amy
RP150587	El-Serag, Hashem	Baylor College of Medicine	Barlow, William; Kushi, Lawrence; Li, Christopher; Mitchell, Amy
RP150587-C1	Marrero, Jorge	The University of Texas Southwestern Medical Center	Barlow, William; Kushi, Lawrence; Li, Christopher; Mitchell, Amy
RP150587-C2	Feng, Ziding	The University of Texas M.D. Anderson Cancer Center	Barlow, William; Kushi, Lawrence; Li, Christopher; Mitchell, Amy

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150587-P1	Kanwal, Fasiha	Baylor College of Medicine	Barlow, William; Kushi, Lawrence; Li, Christopher; Mitchell, Amy
RP150587-P2	El-Serag, Hashem	Baylor College of Medicine	Barlow, William; Kushi, Lawrence; Li, Christopher
RP150587-P3	Moore, David	Baylor College of Medicine	Barlow, William; Kushi, Lawrence; Li, Christopher; Mitchell, Amy
RP150587-P4	Baretta, Laura	The University of Texas M.D. Anderson Cancer Center	Barlow, William; Kushi, Lawrence; Li, Christopher; Mitchell, Amy
RP150587-P5	Singal, Amit	The University of Texas Southwestern Medical Center	Barlow, William; Kushi, Lawrence; Li, Christopher; Mitchell, Amy
RP150590	Johnson, Jane	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150596	Danuser, Gaudenz	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150611	Cooke, John	The Methodist Hospital Research Institute	Sukumar, Saraswati; Mitchell, Amy
RP150632	Bachoo, Robert	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150637	Bartosh, Thomas	Texas A&M University System Health Science Center	Mitchell, Amy
RP150638	Theiss, Arianne	Baylor Research Institute	Mitchell, Amy
RP150640	Carmon, Kendra	The University of Texas Health Science Center at Houston	Mitchell, Amy
RP150648	O'Malley, Bert	Baylor College of Medicine	Costello, Joseph; Mitchell, Amy
RP150648-C1	Ittmann, Michael	Baylor College of Medicine	Costello, Joseph; Mitchell, Amy
RP150648-P1	Tsai, Ming-Jer	Baylor College of Medicine	Costello, Joseph; Mitchell, Amy
RP150648-P2	Weigel, Nancy	Baylor College of Medicine	Costello, Joseph; Mitchell, Amy

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150648-P3	O'Malley, Bert	Baylor College of Medicine	Costello, Joseph; Mitchell, Amy
RP150648-P4	Chiu, Wah	Baylor College of Medicine	Costello, Joseph; Mitchell, Amy
RP150656	Liu, Xinli	Texas Tech University Health Sciences Center	Mitchell, Amy
RP150676	O'Donnell, Kathryn	The University of Texas Southwestern Medical Center	Mitchell, Amy
RP150696	Nicholson, Bruce	The University of Texas Health Science Center at San Antonio	Mitchell, Amy
RP150701	Carson, Daniel	Rice University	Mitchell, Amy
RP150703	Cheng, Yi-Shing	Texas A&M University System Health Science Center	Mitchell, Amy
RP150711	Mohanty, Samarendra	The University of Texas at Arlington	Mitchell, Amy
RP150713	Lee, Jiyong	The University of Texas at Dallas	Mitchell, Amy
RP150720	Li, Wei	Texas Tech University	Mitchell, Amy
RP1560600	Huang, Tim	The University of Texas Health Science Center at San Antonio	Mitchell, Amy

Application ID	Applicant	Institution	Conflict Noted
Applications Not Recommended for PIC or Oversight Committee Consideration			
RP150527*	Foulds, Charles	Baylor College of Medicine	Greene, Geoffrey; Wahl, Geoffrey
RP150536*	Orlowski, Robert	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin
RP150536-C2*	Davis, Richard	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin
RP150536-C3*	Yang, Jing	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin
RP150536-P1*	Shah, Nina	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin
RP150536-P2*	Molldrem, Jeffrey	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150536-P3*	Nawrocki, Steffan	The University of Texas Health Science Center at San Antonio	Kast, W. Martin
RP150536-P4*	Colla, Simona	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin
RP150536-P5*	Orlowski, Robert	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin
RP150537*	Dalby, Kevin	The University of Texas at Austin	Roberts, Charles
RP150537-C1*	Ren, Pengyu	The University of Texas at Austin	Roberts, Charles
RP150537-C2*	Ueno, Naoto	The University of Texas M.D. Anderson Cancer Center	Roberts, Charles
RP150537-P1*	Bartholomeusz, Chandra	The University of Texas M.D. Anderson Cancer Center	Roberts, Charles
RP150537-P2*	Bartholomeusz, Chandra	The University of Texas M.D. Anderson Cancer Center	Roberts, Charles
RP150537-P3*	Ueno, Naoto	The University of Texas M.D. Anderson Cancer Center	Roberts, Charles
RP150560	Suarez-Almazor, Maria	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150560-C1	Zhao, Hui	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150560-C2	Chang, Shine	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150560-C3	Rodriguez, Alma	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150560-P1	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150560-P2	Holmes, Holly	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150560-P3	Hwang, Jessica	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150560-P4	Suarez-Almazor, Maria	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150560-P5	Shih, Ya-Chen Tina	The University of Texas M.D. Anderson Cancer Center	Paskett, Electra
RP150575	Yu, Dihua	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150575-C1	Sahin, Aysegul	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150575-P1	Yu, Dihua	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150575-P2	Hung, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150575-P3	Jiang, Ning	The University of Texas at Austin	Kast, W. Martin; Riddell, Stanley
RP150575-P4	Mittendorf, Elizabeth	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150592	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP150592-C1	Tripathy, Debu	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP150592-C2	Davies, Peter	Texas A&M University System Health Science Center	Kast, W. Martin; Niedzwiecki, Donna
RP150592-C3	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP150592-P1	Moulder, Stacy	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP150592-P2	Piwnica-Worms, Helen	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150592-P3	Mani, Sendurai	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP150592-P4	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Niedzwiecki, Donna
RP150603	Raj, Ganesh	The University of Texas Southwestern Medical Center	Costello, Karen
RP150603-C1	Kapur, Payal	The University of Texas Southwestern Medical Center	Costello, Karen
RP150603-C2	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Costello, Karen
RP150603-P1	Boothman, David	The University of Texas Southwestern Medical Center	Costello, Karen
RP150603-P2	Raj, Ganesh	The University of Texas Southwestern Medical Center	Costello, Karen
RP150603-P3	Hsieh, Jer-Tsong	The University of Texas Southwestern Medical Center	Costello, Karen
RP150603-P4	Martinez, Elisabeth	The University of Texas Southwestern Medical Center	Costello, Karen
RP150614*	Edwards, Beatrice	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP150614-C1*	Wagner, Elizabeth	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP150614-C2*	Zhao, Hua	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP150614-C3*	Amini, Behrang	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP150614-P1*	Edwards, Beatrice	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP150614-P2*	Villareal, Reina	Baylor College of Medicine	Barlow, William

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150614-P3*	Villareal, Dennis	Baylor College of Medicine	Barlow, William
RP150631	Gustafsson, Jan-Ake	University of Houston	Sukumar, Saraswati
RP150631-P4	Tekmal, Rajeshwar	The University of Texas Health Science Center at San Antonio	Sukumar, Saraswati
RP150650	Pandita, Tej	The Methodist Hospital Research Institute	Sukumar, Saraswati
RP150650-P3	Pandita, Tej	The Methodist Hospital Research Institute	Sukumar, Saraswati
RP150653	Maitra, Anirban	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150653-C1	Maitra, Anirban	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150653-C2	Chin, Lynda	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150653-P1	DePinho, Ronald	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150653-P2	Draetta, Giulio	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150653-P3	Kalluri, Raghu	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150653-P4	Yee, Cassian	The University of Texas M.D. Anderson Cancer Center	Kast, W. Martin; Riddell, Stanley
RP150657	Sherry, Dean	The University of Texas at Dallas	Zinn, Kurt
RP150664	Rawley, David	Baylor College of Medicine	Greene, Geoffrey
RP150664-C1	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey
RP150664-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP150664-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP150664-P3	Farach-Carson, Cindy	Rice University	Greene, Geoffrey
RP150664-P4	Park, Dongsu	Baylor College of Medicine	Greene, Geoffrey

* = Not discussed

Application ID	Applicant	Institution	Conflict Noted
RP150667*	Mitsiades, Nicholas	Baylor College of Medicine	Costello, Joseph
RP150674*	Kameoka, Jun	Texas A&M University	Basillion, James
RP150679*	Wang, Rongfu	The Methodist Hospital Research Institute	Kast, W. Martin
RP150679-C1*	Liu, Xuewu	The Methodist Hospital Research Institute	Kast, W. Martin
RP150679-C2*	Gee, Adrian	Baylor College of Medicine	Kast, W. Martin
RP150679-P1*	Shen, Haifa	The Methodist Hospital Research Institute	Kast, W. Martin
RP150679-P2*	Wang, Rongfu	The Methodist Hospital Research Institute	Kast, W. Martin
RP150679-P3*	Rooney, Cliona	Baylor College of Medicine	Kast, W. Martin
RP150680*	Zeng, Mingtao	Texas Tech University Health Sciences Center at El Paso	Costello, Karen
RP150681	Jayarman, Arul	Texas A&M Engineering Experiment Station	Belinsky, Steven; Fearon, Eric
RP150683	Wetter, David	Rice University	Brandon, Thomas
RP150683-C1	Li, Liang	The University of Texas M.D. Anderson Cancer Center	Brandon, Thomas
RP150683-P1	Wetter, David	Rice University	Brandon, Thomas
RP150683-P2	Fernandez, Maria	The University of Texas Health Science Center at Houston	Brandon, Thomas
RP150683-P3	Shih, Ya-Chen Tina	The University of Texas M.D. Anderson Cancer Center	Brandon, Thomas
RP150684*	Wetter, David	Rice University	Brandon, Thomas


* = Not discussed

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Imaging Technology and Informatics

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/2/15	RP150657	Sherry, Dean	The University of Texas at Dallas	Zinn, Kurt		Kim Bush KB
3/2/15	RP150674	Kameoka, Jun	Texas A&M University	Basilion, James	Not Discussed	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/10/15

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Imaging Technology and Informatics

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	
Signature:	
Date:	

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications.

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150536	Orlowski, Robert	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	<i>[Signature]</i>	Brahm Gicheru/BG
3/16/15	RP150536-C2	Davis, Richard	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	Not Discussed	Brahm Gicheru/BG
3/16/15	RP150536-C3	Yang, Jing	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	Not Discussed	Brahm Gicheru/BG
3/16/15	RP150536-P1	Shah, Nina	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	Not Discussed	Brahm Gicheru/BG
3/16/15	RP150536-P2	Moldrem, Jeffrey	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	Not Discussed	Brahm Gicheru/BG

SRA Approval:

Name (PRINT):	Brahm Gicheru
Signature:	<i>[Signature]</i>
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150536-P3	Nawrocki, Stefim	The University of Texas Health Science Center at San Antonio	Kast, W. Martin		Brahm Gichery/BG
3/16/15	RP150536-P4	Colla, Simona	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichery/BG
3/16/15	RP150536-P5	Orlowski, Robert	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichery/BG
3/16/15	RP150575	Yu, Dihua	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichery/BG
3/16/15	RP150575	Yu, Dihua	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gichery/BG

SRA Approval:

Name (PRINT):	Brahm Gichery
Signature:	
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications						
Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150575-C1	Sahin, Aysegul	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheru/BG
3/16/15	RP150575-C1	Sahin, Aysegul	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheru/BG
3/16/15	RP150575-PI	Yu, Dihua	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheru/BG
3/16/15	RP150575-PI	Yu, Dihua	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheru/BG
3/16/15	RP150575-P2	Hung, Mien-Chie	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheru/BG

SRA Approval:

Name (PRINT):	Brahm Gicheru
Signature:	
Date:	3/16/2015

Comments:

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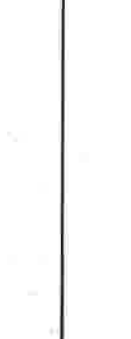
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2015 Cancer Prevention and Research Institute of Texas Research Programs

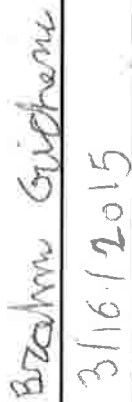
Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150575-P2	Hung, Mien-Chie	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheru/BG
3/16/15	RP150575-P3	Jiang, Ning	The University of Texas at Austin	Kast, W. Martin		Brahm Gicheru/BG
3/16/15	RP150575-P3	Jiang, Ning	The University of Texas at Austin	Riddell, Stanley		Brahm Gicheru/BG
3/16/15	RP150575-P4	Mittendorf, Elizabeth	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheru/BG
3/16/15	RP150575-P4	Mittendorf, Elizabeth	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheru/BG

SRA Approval:

Name (PRINT):	Brahm Gicheru
Signature:	
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs
Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150592	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichewu/BG
3/16/15	RP150592	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		Brahm Gichewu/BG
3/16/15	RP150592-C1	Tripathy, Debu	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichewu/BG
3/16/15	RP150592-C1	Tripathy, Debu	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		Brahm Gichewu/BG
3/16/15	RP150592-C2	Davies, Peter	Texas A&M University System Health Science Center	Kast, W. Martin		Brahm Gichewu/BG

SRA Approval:

Name (PRINT):	Brahm Gichewu
Signature:	
Date:	3/16/2015

Comments:

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Panel: 15.2 Clinical / Translational Cancer Research

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150592-C2	Davies, Peter	Texas A&M University System Health Science Center	Niedzwiecki, Donna	<i>Donna Niedzwiecki</i>	Brahm Gichera/BG
3/16/15	RP150592-C3	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	<i>W. Martin Kast</i>	Brahm Gichera/BG
3/16/15	RP150592-C3	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna	<i>Donna Niedzwiecki</i>	Brahm Gichera/BG
3/16/15	RP150592-P1	Moulder, Stacy	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	<i>W. Martin Kast</i>	Brahm Gichera/BG
3/16/15	RP150592-P1	Moulder, Stacy	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna	<i>Donna Niedzwiecki</i>	Brahm Gichera/BG

SRA Approval:

Name (PRINT):	Brahm Gichera
Signature:	<i>Brahm Gichera</i>
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Clinical / Translational Cancer Research

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150592-P2	Piwica-Worms, Helen	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichera/BG
3/16/15	RP150592-P2	Piwica-Worms, Helen	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		Brahm Gichera/BG
3/16/15	RP150592-P3	Mani, Sendurai	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichera/BG
3/16/15	RP150592-P3	Mani, Sendurai	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		Brahm Gichera/BG
3/16/15	RP150592-P4	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichera/BG

SRA Approval:

Name (PRINT):	Brahm Gichera
Signature:	
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs
Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150592-P4	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwecki, Donna		Brahm Gichera/BG
3/16/15	RP150653	Maitra, Anirban	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichera/BG
3/16/15	RP150653	Maitra, Anirban	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gichera/BG
3/16/15	RP150653-C1	Maitra, Anirban	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gichera/BG
3/16/15	RP150653-C1	Maitra, Anirban	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gichera/BG

SRA Approval:

Name (PRINT):	Brahm Gichera
Signature:	
Date:	3/16/2015

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150653-C2	Chin, Lynda	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheru/BG
3/16/15	RP150653-C2	Chin, Lynda	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheru/BG
3/16/15	RP150653-P1	DePinho, Ronald	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheru/BG
3/16/15	RP150653-P1	DePinho, Ronald	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheru/BG
3/16/15	RP150653-P2	Draetta, Giulio	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheru/BG

SRA Approval:

Name (PRINT):	Brahm Gicheru
Signature:	
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs
Panel: 15.2 Clinical / Translational Cancer Research

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150653-P2	Draetta, Giulio	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheva/BG
3/16/15	RP150653-P3	Kalluri, Raghu	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheva/BG
3/16/15	RP150653-P3	Kalluri, Raghu	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheva/BG
3/16/15	RP150653-P4	Yee, Cassian	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		Brahm Gicheva/BG
3/16/15	RP150653-P4	Yee, Cassian	The University of Texas M. D. Anderson Cancer Center	Riddell, Stanley		Brahm Gicheva/BG

SRA Approval:

Name (PRINT):	Brahm Gicheva
Signature:	
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs
Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150679	Wang, Rongfu	The Methodist Hospital Research Institute	Kast, W. Martin	<i>[Signature]</i> *not discussed	Brahm Gichery/BG
3/16/15	RP150679-C1	Liu, Xuewu	The Methodist Hospital Research Institute	Kast, W. Martin	<i>[Signature]</i> *not discussed	Brahm Gichery/BG
3/16/15	RP150679-C2	Ge, Adrian	Baylor College of Medicine	Kast, W. Martin	<i>[Signature]</i> *not discussed	Brahm Gichery/BG
3/16/15	RP150679-P1	Shen, Harfa	The Methodist Hospital Research Institute	Kast, W. Martin	<i>[Signature]</i> *not discussed	Brahm Gichery/BG
3/16/15	RP150679-P2	Wang, Rongfu	The Methodist Hospital Research Institute	Kast, W. Martin	<i>[Signature]</i> *not discussed	Brahm Gichery/BG

SRA Approval:

Name (PRINT):	Brahm Gichery
Signature:	<i>[Signature]</i>
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16/15	RP150679-P3	Rooney, Cliona	Baylor College of Medicine	Kast, W. Martin	<i>[Signature]</i> *not 4/3/15/15	Brahm Gichera/BG

SRA Approval:

Name (PRINT):	Brahm Gichera
Signature:	<i>Brahm Gichera</i>
Date:	3/16/2015

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs
Panel: 15.2 Clinical / Translational Cancer Research

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	
Signature:	
Date:	

Comments:

--

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2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/17/15	RP150560	Suarez-Almazor, Maria	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	NOT Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150560-C1	Zhao, Hui	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	NOT Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150560-C2	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	NOT Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150560-C3	Rodriguez, Alma	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	NOT Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150560-P1	Smith, Benjamin	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	NOT Present (TC Reviewer)	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

--

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs**

Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/17/15	RP150560-P2	Holmes, Holly	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	Not Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150560-P3	Hwang, Jessica	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	Not Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150560-P4	Suarez-Almazor, Maria	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	Not Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150560-P5	Shih, Ya-Chen Tina	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra	Not Present (TC Reviewer)	Kim Bush KB
3/17/15	RP150587	El-Serag, Hashem	Baylor College of Medicine	Barlow, William	William Barlow	Kim Bush KB

SRA Approval:

Name (PRINT)	Kimberly Bush
Signature:	
Date:	3/17/15






Comments:

--

* As SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application


Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Cancer Prevention Research
Meeting Type: Onsite Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
	RP150587	El-Serag, Hashem	Baylor College of Medicine	Kushi, Lawrence		Kim Bush KB
	RP150587	El-Serag, Hashem	Baylor College of Medicine	Li, Christopher		Kim Bush KB
	RP150587-C1	Marrero, Jorge	The University of Texas Southwestern Medical Center	Barlow, William		Kim Bush KB
	RP150587-C1	Marrero, Jorge	The University of Texas Southwestern Medical Center	Kushi, Lawrence		Kim Bush KB
	RP150587-C1	Marrero, Jorge	The University of Texas Southwestern Medical Center	Li, Christopher		Kim Bush KB

This is to certify that I was not present and did not participate in the review of the following applications:

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

--

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed this form and left the panel room during the discussion of the application

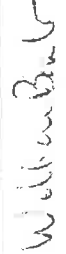




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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications						
Date	Application Number	Applicant/PI/PI Name	Applicant/PI/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials
3/17/15	RP150587-C2	Feng, Ziding	The University of Texas M. D. Anderson Cancer Center	Barlow, William		Kim Bush KB
3/17/15	RP150587-C2	Feng, Ziding	The University of Texas M. D. Anderson Cancer Center	Kushi, Lawrence		Kim Bush KB
3/17/15	RP150587-C2	Feng, Ziding	The University of Texas M. D. Anderson Cancer Center	Li, Christopher		Kim Bush KB
3/17/15	RP150587-P1	Kanwal, Fasha	Baylor College of Medicine	Barlow, William		Kim Bush KB
3/17/15	RP150587-P1	Kanwal, Fasha	Baylor College of Medicine	Kushi, Lawrence		Kim Bush KB

SRA Approval:

Name (PRINT)	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/17/15	RP150587-P1	Kanwal, Fasha	Baylor College of Medicine	Li, Christopher		Kim Bush KB
3/17/15	RP150587-P2	El-Sorag, Hashem	Baylor College of Medicine	Barlow, William		Kim Bush KB
3/17/15	RP150587-P2	El-Sorag, Hashem	Baylor College of Medicine	Kush, Lawrence		Kim Bush KB
3/17/15	RP150587-P2	El-Sorag, Hashem	Baylor College of Medicine	Li, Christopher		Kim Bush KB
3/17/15	RP150587-P3	Moore, David	Baylor College of Medicine	Barlow, William		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

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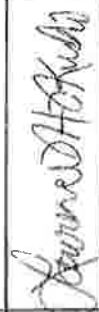

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials
3/17/15	RP150587-P3	Moore, David	Baylor College of Medicine	Kushi, Lawrence		Kim Bush KB
3/17/15	RP150587-P3	Moore, David	Baylor College of Medicine	Li, Christopher		Kim Bush KB
3/17/15	RP150587-P4	Beretta, Laura	The University of Texas M. D. Anderson Cancer Center	Barlow, William		Kim Bush KB
3/17/15	RP150587-P4	Beretta, Laura	The University of Texas M. D. Anderson Cancer Center	Kushi, Lawrence		Kim Bush KB
3/17/15	RP150587-P4	Beretta, Laura	The University of Texas M. D. Anderson Cancer Center	Li, Christopher		Kim Bush KB

This is to certify that I was not present and did not participate in the review of the following application(s):

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/17/15	RP150587-P5	Singal, Amit	The University of Texas Southwestern Medical Center	Barlow, William	<i>William Barlow</i>	Kim Bush KB
3/17/15	RP150587-P5	Singal, Amit	The University of Texas Southwestern Medical Center	Kushi, Lawrence	<i>Lawrence H. Kushi</i>	Kim Bush KB
3/17/15	RP150587-P5	Singal, Amit	The University of Texas Southwestern Medical Center	L.J. Christopher	<i>L.J. Christopher</i>	Kim Bush KB
3/17/15	RP150614	Edwards, Beatrice	The University of Texas M. D. Anderson Cancer Center	Barlow, William	<i>Not Discussed</i>	Kim Bush KB
3/17/15	RP150614-C1	Wagar, Elizabeth	The University of Texas M. D. Anderson Cancer Center	Barlow, William	<i>Not Discussed</i>	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	<i>Kimberly Bush</i>
Date:	3/17/15

Comments:

--

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/17/15	RP150614-C2	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Barlow, William	NOT Discussed	Kim Bush KB
3/17/15	RP150614-C3	Amini, Behrang	The University of Texas M. D. Anderson Cancer Center	Barlow, William	NOT Discussed	Kim Bush KB
3/17/15	RP150614-P1	Edwards, Beatrice	The University of Texas M. D. Anderson Cancer Center	Barlow, William	NOT Discussed	Kim Bush KB
3/17/15	RP150614-P2	Villareal, Reina	Baylor College of Medicine	Barlow, William	NOT Discussed	Kim Bush KB
3/17/15	RP150614-P3	Villareal, Dennis	Baylor College of Medicine	Barlow, William	NOT Discussed	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

--

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications.

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/17/15	RP150683	Wetter, David	Rice University	Brandon, Thomas		Kim Bush KB
3/17/15	RP150683-C1	Li, Liang	The University of Texas M. D. Anderson Cancer Center	Brandon, Thomas		Kim Bush KB
3/17/15	RP150683-P1	Wetter, David	Rice University	Brandon, Thomas		Kim Bush KB
3/17/15	RP150683-P2	Fernandez, Maria	The University of Texas Health Science Center at Houston	Brandon, Thomas		Kim Bush KB
3/17/15	RP150683-P3	Shih, Ya-Chen Tina	The University of Texas M. D. Anderson Cancer Center	Brandon, Thomas		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Prevention Research

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/17/15	RP150684	Weiter, David	Rice University	Brandon, Thomas	 NOT DISCUSSED	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/17/15

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10/15	RP150527	Foulds, Charles	Baylor College of Medicine	Greene, Geoffrey	NOT Discussed	Kim Bush KB
3/10/15	RP150527	Foulds, Charles	Baylor College of Medicine	Wahl, Geoffrey	NOT Discussed	Kim Bush KB
3/10/15	RP150537	Dalby, Kevin	The University of Texas at Austin	Roberts, Charles	NOT Discussed	Kim Bush KB
3/10/15	RP150537-C1	Ren, Pengyu	The University of Texas at Austin	Roberts, Charles	NOT Discussed	Kim Bush KB
3/10/15	RP150537-C2	Ueno, Naoto	The University of Texas M. D. Anderson Cancer Center	Roberts, Charles	NOT Discussed	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/11/15

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10/15	RP150537-P1	Bartholomeusz, Chandra	The University of Texas M. D. Anderson Cancer Center	Roberts, Charles	Not Discussed	Kim Bush KB
3/10/15	RP150537-P2	Bartholomeusz, Chandra	The University of Texas M. D. Anderson Cancer Center	Roberts, Charles	Not Discussed	Kim Bush KB
3/10/15	RP150537-P3	Ueno, Naoto	The University of Texas M. D. Anderson Cancer Center	Roberts, Charles	Not Discussed	Kim Bush KB
3/10/15	RP150603	Raj, Ganesh	The University of Texas Southwestern Medical Center	Costello, Karen		Kim Bush KB
3/10/15	RP150603-C1	Kapur, Payal	The University of Texas Southwestern Medical Center	Costello, Karen		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/11/15

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10/15	RP150603-C2	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Costello, Karen		Kim Bush KB
3/10/15	RP150603-P1	Boothman, David	The University of Texas Southwestern Medical Center	Costello, Karen		Kim Bush KB
3/10/15	RP150603-P2	Raj, Ganesh	The University of Texas Southwestern Medical Center	Costello, Karen		Kim Bush KB
3/10/15	RP150603-P3	Hsieh, Jer-Tsong	The University of Texas Southwestern Medical Center	Costello, Karen		Kim Bush KB
3/10/15	RP150603-P4	Martinez, Elisabeth	The University of Texas Southwestern Medical Center	Costello, Karen		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/11/15

Comments:

--

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10/15	RP150648	O'Malley, Bert	Baylor College of Medicine	Costello, Joseph		Kim Bush KB
3/10/15	RP150648-C1	Ittmann, Michael	Baylor College of Medicine	Costello, Joseph		Kim Bush KB
3/10/15	RP150648-P1	Tsai, Ming-Jer	Baylor College of Medicine	Costello, Joseph		Kim Bush KB
3/10/15	RP150648-P2	Weigel, Nancy	Baylor College of Medicine	Costello, Joseph		Kim Bush KB
3/10/15	RP150648-P3	O'Malley, Bert	Baylor College of Medicine	Costello, Joseph		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/11/15

Comments:

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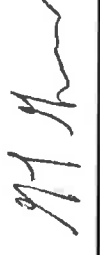
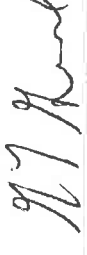
* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10/15	RP150664-P4	Chiu, Wah	Baylor College of Medicine	Costello, Joseph		Kim Bush KB
3/10/15	RP150664	Rowley, David	Baylor College of Medicine	Greene, Geoffrey		Kim Bush KB
3/10/15	RP150664-C1	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey		Kim Bush KB
3/10/15	RP150664-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey		Kim Bush KB
3/10/15	RP150664-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/11/15

Comments:

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2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10/15	RP150664-P3	Farach-Carson, Cindy	Rice University	Greene, Geoffrey		Kim Bush KB
3/10/15	RP150664-P4	Park, Dongsu	Baylor College of Medicine	Greene, Geoffrey		Kim Bush KB
3/10/15	RP150667	Mitsiades, Nicholas	Baylor College of Medicine	Costello, Joseph	NOT DISCUSSED	Kim Bush KB
3/10/15	RP150680	Zeng, Mingtao	Texas Tech University Health Sciences Center at El Paso	Costello, Karen	NOT DISCUSSED	Kim Bush KB
3/10/15	RP150681	Jayaraman, Arul	Texas A&M Engineering Experiment Station	Belinsky, Steven		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/11/15

Comments:

--

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10/15	RP150681	Jayaraman, Arul	Texas A&M Engineering Experiment Station	Featou, Eric		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	3/11/15

Comments:

--

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Cancer Biology

Meeting Type: Onsite Review

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	
Signature:	
Date:	

Comments:

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs
Panel: 15.2 Basic Cancer Research-2
Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	Brahm Gieberu
Signature:	Brahm Gieberu
Date:	3/18/2015

Comments:

No COIs.

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Basic Cancer Research-1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/9/2015	RP150611	Cooke, John	The Methodist Hospital Research Institute	Sukumar, Saraswati	<i>S. Sukumar</i>	Brahm Gicheru/BG
3/9/2015	RP150631	Gustafsson, Jan-Ake	University of Houston	Sukumar, Saraswati	<i>S. Sukumar</i>	Brahm Gicheru/BG
3/9/2015	RP150631-P4	Tekmal, Rajeshwar	The University of Texas Health Science Center at San Antonio	Sukumar, Saraswati	<i>S. Sukumar</i>	Brahm Gicheru/BG
3/9/2015	RP150650	Pandita, Tej	The Methodist Hospital Research Institute	Sukumar, Saraswati	<i>S. Sukumar</i>	Brahm Gicheru/BG
3/9/2015	RP150650-P3	Pandita, Tej	The Methodist Hospital Research Institute	Sukumar, Saraswati	<i>S. Sukumar</i>	Brahm Gicheru/BG

SRA Approval:

Name (PRINT):	Brahm Gicheru
Signature:	<i>Brahm Gicheru</i>
Date:	3/9/2015

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 15.2 Basic Cancer Research-I

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	
Signature:	
Date:	

Comments:

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

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

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

Application ID	Applicant	Institution	Conflict Noted
Applications considered by the PIC and Oversight Committee			
RR150085	Stancel, George	The University of Texas Health Science Center at Houston	Katia Garcia-Crespo (SRA); Mitchell, Amy
RR150072	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150074	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150076	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150082	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
RR150088	Wells, Dan	University of Houston	Mitchell, Amy
RR150089	Fitz, John	The University of Texas Southwestern Medical Center	Mitchell, Amy
RR150093	Kuspa, Adam	Baylor College of Medicine	Mitchell, Amy
Applications not considered by the PIC or Oversight Committee			
RR150070	Martin, Stephen	The University of Texas at Austin	Gambhir, Sanjiv Sam

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs

Panel: Recruitment FY15 Cycle 2-RRP-8

Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
	RR150070	Martin, Stephen	The University of Texas at Austin	Gambhir, Sanjiv Sam		

SRA Approval:

Name (PRINT):	
Signature:	
Date:	

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Research Programs
Panel: Recruitment FY15 Cycle 2-RRP-9
Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:						
Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
6/11/15	RR150085	Stancel, George	The University of Texas Health Science Center at Houston	Jones, Peter	Verified Telephonically by SRA	Katia Garcia-Crespo KGC

SRA Approval:

Name (PRINT):	Katia Garcia-Crespo
Signature:	<i>Katia Garcia-Crespo</i>
Date:	6-11-15

Comments:

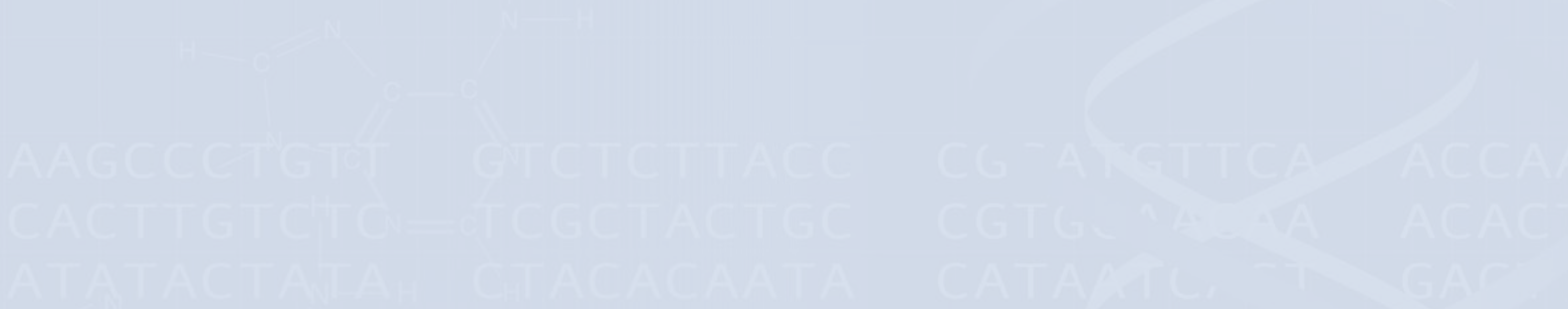
* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

PRODUCT DEVELOPMENT RESEARCH



**Conflicts of Interest for Product Development Cycle 15.1 Applications
(Product Development Cycle 15.1 Awards Announced at February 18, 2015 Oversight
Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Cycle 15.1 include *New Company Product Development Awards*, *Company Relocation Product Development Awards*, and *Established Company Product Development Awards*. Four applications were recommended to the PIC and Oversight Committee in February 2015 while other applications remain in due diligence and may be recommended in May 2015. Applications still in due diligence review are de-identified. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Company	Conflict Noted
Applications Considered by the PIC and Oversight Committee			
DP150031	Merchant, Fahar	Medicenna Therapeutics, Inc.	Lloyd, Ramona
Applications Recommended For Due Diligence Review, which may be later Recommended to the PIC and Oversight Committee			
DP150***	***	***	Geltosky, Jack; Spector, Neil
Applications Not Recommended for PIC or Oversight Committee Consideration			
DP150010*	Carroll, Stephen	Synergys Biotherapeutics, Inc.	Spector, Neil
DP150023*	Burns, Lindsay	Pain Therapeutics, Inc.	Jones, Elaine; Saxberg, Bo
DP150036	Schmid, Steven	Vivo Biosciences, Inc.	Craig, Adam
DP150038	Kim, Jason	Molecular Templates, Inc.	Craig, Adam
DP150048	Bearss, David	Tolero Pharmaceuticals, Inc.	Craig, Adam; Saxberg, Bo; Spector, Neil

*=Application not discussed

***=De-identified applicant information

**Conflicts of Interest for Product Development Cycle 15.1 Applications
(Product Development Cycle 15.1 Awards Announced at May 20, 2015, Oversight
Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Cycle 15.1 include *New Company Product Development Awards*, *Company Relocation Product Development Awards*, and *Established Company Product Development Awards*. Four applications were recommended to the PIC and Oversight Committee in February 2015 while two other applications are recommended in May 2015. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Company	Conflict Noted
Applications Considered by the PIC and Oversight Committee			
DP150031	Merchant, Fahar	Medicenna Therapeutics, Inc.	Lloyd, Ramona; Geltosky, Jack
DP150019	DiMascio, Leah	Vermillion Inc.	Mitchell, Amy
DP150042 ¹	Wulf, John	Aradigm Corporation	Mitchell, Amy
Applications Not Recommended for PIC or Oversight Committee Consideration			
DP150010*	Carroll, Stephen	Synergys Biotherapeutics, Inc.	Spector, Neil
DP150013	Riley, Dennis	Galera Therapeutics, Inc.	Geltosky, Jack; Spector, Neil
DP150023*	Burns, Lindsay	Pain Therapeutics, Inc.	Jones, Elaine; Saxberg, Bo
DP150036	Schmid, Steven	Vivo Biosciences, Inc.	Craig, Adam
DP150038	Kim, Jason	Molecular Templates, Inc.	Craig, Adam
DP150048	Bearss, David	Tolero Pharmaceuticals, Inc.	Craig, Adam; Saxberg, Bo; Spector, Neil

¹ DP150042 was not recommended by the PIC and not considered by the Oversight Committee.

*=Application not discussed

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-2

Meeting Type: Teleconference

This is to certify that I was not present and did not participate in the review of the following applications.

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
7/16/2014	DP150031	Merchant, Fahar	Medicenna Therapeutics, Inc.	Lloyd, Ramona	Verified Telephonically by SRA	KR

SRA Approval:

Name (PRINT):	Kellie Reeve
Signature:	Kellie Reeve
Date:	7/16/2014

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Teleconference

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
7/15/2014	DP150013	Riley, Dennis	Galera Therapeutics, Inc.	Geltosky, Jack	Verified Telephonically by SRA	KR
7/15/2014	DP150023	Burns, Lindsay	Pain Therapeutics Inc.	Jones, Elaine	Verified Telephonically by SRA (Not Discussed)	KR
7/15/2014	DP150023	Burns, Lindsay	Pain Therapeutics Inc.	Saxberg, Bo	Verified Telephonically by SRA (Not Discussed)	KIR
7/15/2014	DP150036	Schmid, Steven	Vivo Biosciences, Inc.	Craig, Adam	Verified Telephonically by SRA	KIR
7/15/2014	DP150038	Kim, Jason	Molecular Templates, Inc.	Craig, Adam	Verified Telephonically by SRA	KIR

SRA Approval:

Name (PRINT):	Kelle Reece
Signature:	<i>Kelle Reece</i>
Date:	7/15/2014

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Onsite Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
7/16/2014	DP150048	Bearss, David	Tolero Pharmaceuticals, Inc.	Craig, Adam	Verified Telephonically by SRA	KR
7/16/2014	DP150048	Bearss, David	Tolero Pharmaceuticals, Inc.	Spector, Neil	Verified Telephonically by SRA	KR

This is to certify that I was not present and did not participate in the review of the following applications:

SRA Approval:

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	7/15/2014

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
7/15/2014	DE150010	Carroll, Stephen	Synergys Biotechnologies, Inc.	Specter, Neil	Verified Telephonically by SRA	KR
7/15/2014	DE150048	Bearns, David	Tolero Pharmaceuticals, Inc.	Saxberg, BO	Verified Telephonically by SRA	KR

SRA Approval:

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	7/15/2014

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development


Panel: Product Development Panel-2

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
8/14/14	DP150031	Merchant, Fahar	Medicenna Therapeutics, Inc.	Lloyd, Ramona		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	8/15/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development

Panel: Product Development Panel-1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
9/13/14	DP150010	Carroll, Stephen	Synergys Biotherapeutics, Inc.	Spector, Neil	NOT DISCUSSED	Kim Bush KB
9/13/14	DP150013	Riley, Dennis	Galera Therapeutics, Inc.	Geltosky, Jack	<i>[Signature]</i>	Kim Bush KB
9/13/14	DP150023	Burns, Lindsay	Pain Therapeutics Inc.	Jones, Elaine	NOT DISCUSSED	Kim Bush KB
9/13/14	DP150023	Burns, Lindsay	Pain Therapeutics Inc.	Saxberg, Bo	NOT DISCUSSED	Kim Bush KB
9/13/14	DP150036	Schmid, Steven	Vivo Biosciences, Inc.	Craig, Adam	<i>[Signature]</i>	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	<i>[Signature]</i>
Date:	9/13/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development**


Panel: Product Development Panel-1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
8/12/14	DP150038	Kim, Jason	Molecular Templates, Inc.	Craig, Adam		Kim Bush KB
8/12/14	DP150048	Bearss, David	Tolero Pharmaceuticals, Inc.	Craig, Adam		Kim Bush KB
8/12/14	DP150048	Bearss, David	Tolero Pharmaceuticals, Inc.	Saxberg, Bo		Kim Bush KB
8/12/14	DP150048	Bearss, David	Tolero Pharmaceuticals, Inc.	Spector, Neil		Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	8/13/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development


Panel: Product Development Panel-1

Meeting Type: Onsite Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
8/13/14	DP150013	Riley, Dennis	Galera Therapeutics Inc.	Neil Spector	Verified telephonically by SRA (not present)	Kim Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	8/13/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development

Panel: Due Diligence Meeting
Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
	DP150013	Riley, Dennis	Galera Therapeutics, Inc.	Geltosky, Jack	Verified Telephonically by SRA	<i>Paul Brohawn</i>

SRA Approval:

Name (PRINT):	<i>Paul Brohawn</i>
Signature:	<i>[Signature]</i>
Date:	<i>4/17/15</i>

Comments:

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development**

Panel: Due Diligence Meeting 1
Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
1/8/15	DPI50031	Merchant, Fahar	Medicenna Therapeutics, Inc.	Geltosky, Jack	Verified telephonically by SRA	KR

SRA Approval:

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	1/8/15

Comments:

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An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

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**Conflicts of Interest for Product Development Cycle 15.2 Applications
(Product Development Cycle 15.2 Awards Announced at November 2014 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. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT's third party grant administrator, and by CPRIT.

Application ID	Applicant	Institution	Conflict Noted
Applications Considered by the PIC and Oversight Committee			
DP150051	Ariizumi, Kiyoshi	The University of Texas Southwestern Medical Center	Mitchell, Amy
DP150052	Hung, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
DP150056	Zhang, Chengcheng	The University of Texas Southwestern Medical Center	Mitchell, Amy
DP150059	Bresalier, Robert	The University of Texas M.D. Anderson Cancer Center	Mitchell, Amy
DP150061	Georgiou, George	The University of Texas at Austin	Mitchell, Amy
DP150064	Pati, Debananda	Baylor College of Medicine	Mitchell, Amy
DP150065	Hancock, John	The University of Texas Health Science Center at Houston	Mitchell, Amy
DP150069	Tweardy, David	Baylor College of Medicine	Mitchell, Amy; Rosenfeld, Craig
DP150077	Zhu, Hao	The University of Texas Southwestern Medical Center	Mitchell, Amy
DP150083	Metelista, Leonid	Baylor College of Medicine	Mitchell, Amy
DP150086	Walker, Cheryl	Texas A&M University System	Mitchell, Amy

* = Not discussed

		Health Science Center	
DP150087	Sessler, Jonathan	The University of Texas at Austin	Mitchell, Amy
DP150091	Lacko, Andras	University of North Texas Health Science Center at Fort Worth	Mitchell, Amy
DP150093	Gorfe, Alemayehu	The University of Texas Health Science Center at Houston	Mitchell, Amy
DP150096	Vadlamudi, Ratna	The University of Texas Health Science Center at San Antonio	Mitchell, Amy
DP150099	Wang, Rongfu	The Methodist Hospital Research Institute	Mitchell, Amy
DP150102	Milner, Thomas	The University of Texas at Austin	Mitchell, Amy
DP150094	Cooper, Laurence	The University of Teas MD Anderson Cancer Center	DuBois, Ray; Mitchell, Amy
DP150055	Li, Rong	The University of Texas Health Science Center at San Antonio	Jones, Elaine; Mitchell, Amy
DP150074	Hellmich, Mark	The University of Texas Medical Branch at Galveston	Jones, Eliane; Mitchell, Amy
Applications Not Recommended for PIC or Oversight Committee Consideration			
DP150060*	Ciu, Zhengrong	The University of Texas at Austin	Jones, Elaine
DP150062*	Bittner, Michael	Texas A&M University	Sarisky, Robert
DP150071*	Sun, Luzhe	The University of Texas Health Science Center at San Antonio	Jones, Elaine
DP150079	Chen, Changyi	Baylor College of Medicine	Wong, David
DP150092	Huang, Peng	The University of Teas MD Anderson Cancer Center	DuBois, Ray

* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development**


Panel: 15.2 Product Development Panel-2

Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	10/8/14

Comments:

No COIs reported.

* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development


Panel: 15.2 Product Development Panel-1

Meeting Type: Teleconference Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
10/7/14	DP150055	Li, Rong	The University of Texas Health Science Center at San Antonio	Jones, Elaine	Verified Telephonically by SRA	Kimberly Bush KB
10/7/14	DP150060	Cui, Zhengrong	The University of Texas at Austin	Jones, Elaine	Not Discussed	Kimberly Bush KB
10/7/14	DP150062	Bitner, Michael	Texas A&M University	Sarsky, Robert	Not Discussed	Kimberly Bush KB
10/7/14	DP150071	SUN, LUZHE	The University of Texas Health Science Center at San Antonio	Jones, Elaine	Not Discussed	Kimberly Bush KB
10/7/14	DP150079	Chen, Changyi (Johnny)	Baylor College of Medicine	Weng, David	Verified Telephonically by SRA	Kimberly Bush KB

This is to certify that I was not present and did not participate in the review of the following applications:

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	10/7/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest
2015 Cancer Prevention and Research Institute of Texas Product Development


Panel: 15.2 Product Development Panel-1

Meeting Type: Teleconference Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
10/7/14	DP150092	Huang, Peng	The University of Texas M. D. Anderson Cancer Center	DuBois, Ray	Verified Telephonically by SPA	Kimberly Bush KB
10/7/14	DP150094	Cooper, Laurence	The University of Texas M. D. Anderson Cancer Center	DuBois, Ray	Verified Telephonically by SPA	Kimberly Bush KB

This is to certify that I was not present and did not participate in the review of the following applications:

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	10/7/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest

2015 Cancer Prevention and Research Institute of Texas Product Development


Panel: 15.2 Product Development Panel-1

Meeting Type: Teleconference Review

This is to certify that I was not present and did not participate in the review of the following applications:

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
10/7/14	DP150074	Hellmich	THE UNIVERSITY OF TEXAS Medical Branch @ Galveston	Elaine Jones	verified Technomically by SRA	Kimberly Bush KB

SRA Approval:

Name (PRINT):	Kimberly Bush
Signature:	
Date:	10/7/14

Comments:

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* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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APPENDIX:
CONFLICT OF INTEREST DOCUMENTATION

FISCAL YEAR 2015
CONFLICT OF INTEREST WAIVERS





CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE CHAIR DR. WILLIAM RICE
FROM: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT: SECTION 102.1062 WAIVER – DAVID L. LAKEY, M.D.
DATE: AUGUST 13, 2014

Waiver Request and Recommendation:

I request that the Oversight Committee approve a renewal of the conflict of interest waiver for Program Integration Committee (PIC) member Dr. David L. Lakey, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The waiver is necessary for Dr. Lakey to continue to participate in CPRIT’s review process as a PIC member. Together with the waiver’s proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

Background:

The Oversight Committee approved Dr. Lakey’s conflict of interest waiver for the 2014 fiscal year. Dr. Lakey is the Commissioner of the Department of State Health Services (DSHS); DSHS is also a CPRIT grant recipient, having received a grant award in September 2009. Therefore, Dr. Lakey continues to have the same conflict of interest and requires a renewal of the conflict of interest waiver for the 2015 fiscal year. The recommendations and limitations in the renewal remain the same as previously approved by the Oversight Committee.

The DSHS Commissioner is a statutorily designated member of the PIC. As a PIC member, Dr. Lakey is called upon to exercise discretion related to whether applications proposed for grant awards by the peer review committees should be recommended to the Oversight Committee for final approval. DSHS is a CPRIT grant recipient. Health & Safety Code Section 102.106(c)(3) mandates that a professional conflict of interest exists if a PIC member is an employee of an entity applying to receive or receiving CPRIT funds. Furthermore, CPRIT’s administrative rule 702.13(c) categorizes this type of professional conflict of interest as one that raises the presumption that the existence of the conflict may affect the impartial review of all other grant applications submitted pursuant to the same grant mechanism in the grant review cycle. A person involved in the review process that holds one of the conflicts included in the Section 702.13(c) “super conflict” category must be recused from participating in the “review, discussion, scoring, deliberation and vote on all grant applications

competing for the same grant mechanism in the entire grant review cycle, unless a waiver has been granted...”

CPRIT’s administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

Exceptional Circumstances Requiring Dr. Lakey’s Participation

In order to approve a conflict of interest waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual’s participation in the review process. Dr. Lakey’s participation in the review process is compelled by the statute. In order to fulfill legislative intent that the DSHS Commissioner serve as a PIC member, the proposed waiver must be granted. The proposed limitations will substantially mitigate any potential for bias.

Proposed Waiver and Limitations

In granting the waiver of the conflict of interest set forth in Section 102.106(c)(3), I recommend that Dr. Lakey be permitted to continue to perform the following activities and duties associated with CPRIT’s review process subject to the stated limitations:

1. Attend and participate fully in the PIC meetings except that Dr. Lakey shall not participate in the PIC’s discussion or vote on grant award recommendations to be made to DSHS;
2. Have access to grant application information developed during the grant review process, except for information related to DSHS applicants, if any; and
3. Provide information to the Oversight Committee or CPRIT personnel about the grant review process and applications recommended by the PIC for grant awards, including answering questions raised by the Oversight Committee or CPRIT personnel. To the extent that information is provided by Dr. Lakey on his own initiative in a review cycle in which DSHS is a grant applicant, the information provided by Dr. Lakey should be general information related to the overall grant application process and not advocate specifically for a grant application submitted by DSHS.

CPRIT’s Compliance Officer is statutorily required to attend PIC meetings to document compliance with CPRIT’s rules and processes, including adherence to this limitation. The Compliance Officer shall report to the Oversight Committee any violation of this waiver prior to the Oversight Committee’s action on the PIC recommendations.

Important Information Regarding this Waiver and the Waiver Process

- The Oversight Committee may amend, revoke, or revise this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.

- This waiver is limited to the conflict of interest specified in this request. To the extent that Dr. Lakey has a conflict of interest with an application that is not the conflict identified in Section 102.106(c)(3), then Dr. Lakey will follow the required notification and recusal process.



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE CHAIR DR. WILLIAM RICE
FROM: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT: SECTION 102.1062 WAIVER – MARGARET L. KRIPKE, PH.D.
DATE: AUGUST 20, 2014

Waiver Request and Recommendation:

I request that the Oversight Committee approve a renewal of the conflict of interest waiver for Dr. Margaret L. Kripke, CPRIT's Chief Scientific Officer, pursuant to Health & Safety Code Section 102.1062 "Exceptional Circumstances Requiring Participation." The waiver is necessary for Dr. Kripke to continue to effectively perform her duties as Chief Scientific Officer. Together with the waiver's proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

Background:

The Oversight Committee approved Dr. Kripke's conflict of interest waiver for the 2014 fiscal year. Dr. Kripke's husband, Dr. Isaiah J. Fidler, is employed by The University of Texas M. D. Anderson Cancer as a professor in the Department of Cancer Biology and holds an endowed chair.¹ Therefore, Dr. Kripke continues to have the same conflict of interest and requires a renewal of the conflict of interest waiver for the 2015 fiscal year. The recommendations and limitations in the waiver renewal remain the same as previously approved by the Oversight Committee.

Health & Safety Code Section 102.106(c)(3) mandates that a professional conflict of interest exists if a CPRIT employee's spouse is an employee of an entity applying to receive or receiving CPRIT funds. Furthermore, CPRIT's administrative rule 702.13(c) categorizes this type of professional conflict of interest as one that raises the presumption that the existence of the conflict may affect the impartial review of all other grant applications submitted pursuant to the same grant mechanism in the grant review cycle. A person involved in the review process that holds one of conflicts included in the Section 702.13(c) "super conflict" category must be recused from participating in the "review, discussion, scoring, deliberation and vote on all grant applications competing for the same grant mechanism in the entire grant review cycle, unless a waiver has been granted..."

¹ Dr. Fidler does not have a recognized administrative or leadership position at M.D. Anderson, nor has he ever applied for or received CPRIT funding.

Due to M.D. Anderson's wide-ranging involvement in cancer prevention and cancer research activities in Texas it is reasonable to expect that the same conflict will affect Dr. Kripke's participation in more than one grant review cycle in this fiscal year as well as other grant monitoring activities she will undertake. CPRIT's administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

Exceptional Circumstances Requiring Dr. Kripke's Participation

In order to approve a waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process. As explained below, there are compelling reasons warranting Dr. Kripke's continued participation in the review process when she would otherwise be excluded because of the conflict. The proposed limitations and CPRIT's existing process and procedures will substantially mitigate any potential for bias.

One of the principal duties for a CPRIT program officer is serving as the Oversight Committee's expert-in-residence for his or her particular grant program. Dr. Kripke is a respected scientist and administrator who has been recognized both nationally and internationally for her work as a cancer researcher. Her nine-year tenure on the President's Cancer Panel has given her a comprehensive overview of the cancer problem and exceptional insight into the needs and future directions of cancer research. She was recruited to CPRIT as its Chief Scientific Officer following an extensive national search and was deemed to be an ideal candidate for the position.

Dr. Kripke's expertise and experience is important not only to address scientific and technical questions but also when she act as the Oversight Committee's "eyes and ears" into the peer review process. Peer review committees are primarily responsible for the work necessary to evaluate grant applications and recommend awards. CPRIT employees may attend peer review meetings but are expressly prohibited from actively participating in the peer review panel's discussion or scoring of grant applications. By attending the peer review committee meetings, Dr. Kripke will continue to credibly relay the peer reviewers' impression of the grant applications and to effectively address questions the Oversight Committee may have related to a grant recommendation. Without the waiver Dr. Kripke will be unable to attend peer review committee meetings and effectively perform her job.

Dr. Kripke's attendance at peer review meetings is valuable even for those applications that are not recommended for a grant award. Grant applicants often contact the program officer after receiving the peer reviewers' written comments and overall score for their applications. Because Dr. Kripke was able to attend the peer review committee meeting when the application was discussed, she will be able to provide meaningful guidance and feedback to the applicant on the proposal's strengths and weaknesses.

Another important role for the program officer is to recruit and retain members of the program's review council. These review council members serve as strategic advisors for CPRIT's grant

programs as well as being responsible for recruiting high-quality reviewers to the peer review committees chaired by each council member. Texas has established a gold-standard peer review process directly dependent on CPRIT's scientific leader, the Chief Scientific Officer. Dr. Kripke's stature in the cancer research arena provides Texas access to the premier cancer researchers in the world—since these are Dr. Kripke's peers. The Chairs of CPRIT review panels are all highly distinguished in their respective fields and bring enormous stature to the peer review process. Having panel chairs of this caliber distinguishes CPRIT's peer review process from all others.

The review council members and peer reviewers that serve on the CPRIT peer review panels are ineligible to receive CPRIT awards; a main attraction to serving as CPRIT peer reviewers is the opportunity for intellectual interactions with their scientific colleagues. These interactions do not occur without the leadership of the Chief Scientific Officer, Dr. Kripke.

Proposed Waiver and Limitations

In granting the waiver of the conflict of interest set forth in Section 102.106(c)(3), I recommend that Dr. Kripke be permitted to continue to perform the following activities and duties of the Chief Scientific Officer:

1. Assign grant applications, including M.D. Anderson grant applications, to various peer review committees for peer review evaluation;
2. Attend scientific research peer review committee meetings as an observer, including meetings where M.D. Anderson application are discussed;
3. Attend and participate fully in the Program Integration Committee (PIC) meetings, subject to the limitation set forth under "Limitations."
4. Have access to grant application information developed during the grant review process, including information related to M.D. Anderson applications;
5. Provide information about grant applications recommended for grant awards to the Oversight Committee or CPRIT personnel, including answering questions raised by the Oversight Committee or CPRIT personnel about M.D. Anderson grant applications. To the extent that information is provided by Dr. Kripke on her own initiative (e.g. the Chief Scientific Officer's summary of the recommended awards) and not in response to a specific question or request, it should be general information related to the overall grant application process and not advocate specifically for grant application submitted by M.D. Anderson.
6. Following the Oversight Committee's approval of a grant award to M.D. Anderson by the Oversight Committee, Dr. Kripke may review and approve programmatic requests associated with M.D. Anderson grant contracts and grant monitoring activities.

With regard to item number 2, Dr. Kripke will be required to follow CPRIT's established policy that CPRIT employees are prohibited from actively participating in peer review committee meetings. This means that Dr. Kripke may attend the peer review committee meetings as an observer, but may not participate in the substantive discussion of any grant application, may not score any application,

and may not vote on any application. CPRIT contracts with an independent third-party observer to document that CPRIT's observer policy is followed. The independent third-party observer report will be made available to the Oversight Committee prior to any action taken related to the grant award recommendations. Following Oversight Committee action, the independent third-party observer report will be publicly available.

LIMITATION ON DUTIES AND ACTIVITIES

Dr. Kripke is a member of the PIC. As a PIC member, Dr. Kripke is called upon to exercise discretion related to whether applications proposed for grant awards by the peer review committees should be recommended to the Oversight Committee for final approval. Dr. Kripke shall not vote on any award recommendations related to M.D. Anderson.

CPRIT's Compliance Officer is statutorily required to attend PIC meetings to document compliance with CPRIT's rules and processes, including adherence to this limitation.

Important Information Regarding this Waiver and the Waiver Process

- The Oversight Committee may amend, revoke, or revise this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request. To the extent that Dr. Kripke has a conflict of interest with an application that is not the conflict identified in Section 102.106(c)(3), then Dr. Kripke will follow the required notification and recusal process.



CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

MEMORANDUM

TO: OVERSIGHT COMMITTEE CHAIR DR. WILLIAM RICE
FROM: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
SUBJECT: SECTION 102.1062 WAIVER – WILL MONTGOMERY
DATE: AUGUST 20, 2014

Waiver Request and Recommendation:

I request that the Oversight Committee approve a conflict of interest waiver for Mr. Will Montgomery, CPRIT Oversight Committee member, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The waiver is necessary for Mr. Montgomery to fully participate in the grant award approval process. Together with the waiver’s proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

Background:

Mr. Montgomery is a partner at Jackson Walker L.L.P., a long-time, Texas-based law firm that employs more than 350 attorneys. Mr. Montgomery’s legal practice focuses on disputes related to the financial services industry, including regulatory investigations, enforcement proceedings, and internal investigations relating to securities, options, derivatives, commodities and futures. Mr. Montgomery does not personally represent CPRIT grant recipients; however, some lawyers employed by Jackson Walker provide legal services to the following grant recipients:

- Rice University
- Texas A & M University System
- Texas A & M System Technology Commercialization
- Texas A & M Institute for Biosciences & Technology
- Methodist Hospital System (Houston)
- UT Southwestern
- UT School of Public Health
- UT Medical Branch, Galveston
- Children's Medical Center Research Institute
- UT San Antonio
- UT Austin
- UT Health Science Center at Houston

Health & Safety Code Section 102.106(c)(4) mandates that a professional conflict of interest exists if an Oversight Committee member represents an entity applying to receive or receiving CPRIT funds. Similarly, Texas Administrative Code Section 702.11(d) finds that there is a professional conflict of interest if an Oversight Committee member “represents in business or law an entity receiving or applying to receive money from the Institute...”

The entities listed above were clients of the law firm prior to Mr. Montgomery’s appointment to the Oversight Committee. Although Mr. Montgomery does not perform legal work for these entities or supervise anyone who does so, he has recused himself from participating in the grant award process related to these entities out of an abundance of caution. He does not have an economic interest in the revenues associated with these entities paid to Jackson Walker, aside from his position as a partner of the firm. However, Mr. Montgomery’s percentage of ownership interest in the law firm is not impacted whether or not these entities are clients of the firm.

It is reasonable to expect that the same conflict will affect Mr. Montgomery’s participation in more than one grant review cycle in this fiscal year as well. CPRIT’s administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year.

Exceptional Circumstances Requiring Mr. Montgomery’s Participation

In order to approve a waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual’s participation in the review process. There are compelling reasons warranting Mr. Montgomery’s participation in the review process when he would otherwise be excluded because of the conflict. One of the principal duties for an Oversight Committee member is to approve grant award recommendations submitted by the Program Integration Committee. The statute requires a two-thirds vote of the Oversight Committee to approve a grant award. The vast majority of CPRIT’s grant applicants and grant recipients are academic institutions, including many of the entities listed above. Excluding Mr. Montgomery from participation in the decision-making process related to grant awards reduces the number of Oversight Committee members that are able to perform the critical task of reviewing information about potential grantees and the review process associated with the grant recommendations.

The proposed limitations and CPRIT’s existing process and procedures will substantially mitigate any potential for bias.

Proposed Waiver and Limitations

In granting the waiver of the conflict of interest set forth in Health & Safety Code Section 102.106(c)(4), I recommend that Mr. Montgomery be permitted to participate in the review process for applications submitted by the following entities, subject to the limitations stated below:

- Rice University

- Texas A & M University System
- Texas A & M System Technology Commercialization
- Texas A & M Institute for Biosciences & Technology
- Methodist Hospital System (Houston)
- UT Southwestern
- UT School of Public Health
- UT Medical Branch, Galveston
- Children's Medical Center Research Institute
- UT San Antonio
- UT Austin
- UT Health Science Center at Houston

Important Information Regarding this Waiver and the Waiver Process

- The Oversight Committee may amend, revoke, or revise this waiver. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request, Health & Safety Code Section 102.106(c)(4). To the extent that Mr. Montgomery has a conflict of interest with an application submitted by an entity listed herein that is not the conflict identified in Section 102.106(c)(4), then Mr. Montgomery will follow the required notification and recusal process.
- The waiver is limited to the entities specified in the request and based upon the circumstances stated herein. If circumstances change such that Mr. Montgomery is required to personally represent one of the entities listed herein or to supervise the work of someone representing the entity, he will notify the Chief Executive Officer and the presiding officer of the Oversight Committee.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER
Subject: SECTION 102.1062 WAIVER—DONALD BRANDY
Date: FEBRUARY 18, 2015

Waiver Request and Recommendation

I request that the Oversight Committee approve a conflict of interest waiver for Mr. Donald Brandy, CPRIT's Purchaser and HUB Coordinator, pursuant to Health & Safety Code Section 102.1062 "Exceptional Circumstances Requiring Participation." Mr. Brandy is not involved in the grant application or reporting process in his official capacity as purchaser of goods and services for the agency. However, the waiver ensures transparency regarding Mr. Brandy's relationship with some universities that receive CPRIT grants. Furthermore, CPRIT's Code of Conduct makes it clear that the agency's conflict of interest provisions apply to any expenditure of CPRIT funds. Although it is unlikely that CPRIT will procure goods and services from a university receiving grant funds from CPRIT, having the conflict of interest waiver in place ensures that Mr. Brandy can perform his duties. Together with the waiver's proposed limitations, adequate protections are in place to mitigate the opportunity for a conflict of interest to unduly influencing agency purchases.

Background

CPRIT recently hired Donald Brandy to serve as the agency purchaser. Mr. Brandy is responsible for planning, organizing, coordinating, and preparing bid specifications and procurement documents to acquire goods and services from vendors and outside contractors used by the agency. The agency purchaser role requires little, if any, involvement with CPRIT's grant award process because CPRIT's grant award contracts are not considered vendor or outside service contracts.

Mr. Brandy requested approval to continue his outside employment as a referee for tennis tournaments held in and around Austin. In addition to refereeing for adult and junior-level tournaments, he occasionally serves as a referee for NCAA tennis matches held at area universities, including The University of Texas at Austin. Mr. Brandy is paid for his services as an independent contractor by the university athletic department when he referees collegiate matches.

CPRIT employees may engage in outside employment so long as the employment does not detract from the employee's ability to reasonably fulfill his or her responsibilities to CPRIT.

Employees must receive written approval from the CEO to engage in outside employment and I am required to notify the Audit Subcommittee regarding any approvals and to annually report all approved outside employment. I notified the Audit Subcommittee regarding my approval for Mr. Brandy's outside employment and it was discussed at the December 18, 2014, subcommittee meeting.

Exceptional Circumstances Requiring Mr. Brandy's Participation

In order to approve a conflict of interest waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process or other expenditure of CPRIT funds.¹

This conflict of interest waiver is different than other waivers I have requested in that it is not seeking a waiver for actions related to CPRIT's grant review or grant monitoring process. As CPRIT's purchaser, I do not anticipate that Mr. Brandy will play any role in the review process for grant applications or grant reports. The purchaser deals only with agency procurement matters and has no influence over the grant award processes of the agency. To the extent that his outside employment necessitates involvement with university personnel, it is with collegiate athletic department staff that have no interaction with researchers working on or applying for grants. Nevertheless, if Mr. Brandy must be part of the review process or grant monitoring activities in the future, he will comply with CPRIT's conflict of interest notification and recusal requirements.

However, during the course of his official duties there may be circumstances requiring Mr. Brandy to procure goods or services on CPRIT's behalf from a university that has also employed him as a tennis referee. This is unlikely to occur; to date, CPRIT has only one services contract with an academic institution, Texas Tech University. However, as CPRIT's lead contact for agency purchases, Mr. Brandy should be allowed to perform his official duties to the fullest extent possible. Any involvement with university athletic department personnel resulting from his outside employment is unlikely to be the same individuals at the university responsible for contracting with CPRIT.

Proposed Waiver and Limitations

In granting the waiver of the conflict of interest set forth in Health & Safety Code Section 102.106(c)(3), I recommend that Mr. Brandy be permitted to perform all duties assigned as purchaser, subject to the limitations stated below:

1. Provide the Chief Operating Officer a list of universities that have used his services as referee during the past twelve months;

¹ CPRIT's Code of Conduct Section III.B(2) states that, "The conflict of interest statutory and administrative rule provisions **apply to any decision to commit CPRIT funds**, whether or not the commitment is part of the grant award process or to a Grant Applicant." (emphasis added)

2. Notify the Chief Operating Officer prior to taking any action on a contract or other procurement document that would result in payment of CPRIT funds to a university on the list referenced above; and
3. The Chief Operating Officer, in conjunction with the CEO, Chief Compliance Officer and General Counsel, can review the circumstances and determine whether Mr. Brandy should be recused from involvement in the procurement.

Important Information Regarding this Waiver and the Waiver Process

- The Oversight Committee may amend, revoke, or review this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval of any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request. To the extent that Mr. Brandy has a conflict of interest not address in this waiver, then Mr. Brandy will follow the required notification and recusal process.



CANCER PREVENTION & RESEARCH
INSTITUTE OF TEXAS

MEMORANDUM

To: OVERSIGHT COMMITTEE MEMBERS
From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER
Subject: SECTION 102.1062 WAIVER – KIRK COLE
Date: APRIL 9, 2015

Waiver Request and Recommendation:

I request that the Oversight Committee approve a conflict of interest waiver for Program Integration Committee (PIC) member DSHS Interim Commissioner Kirk Cole, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The waiver is necessary for Commissioner Cole to participate in CPRIT’s review process as a PIC member. Together with the waiver’s proposed limitations, adequate protections are in place to mitigate the opportunity for the award of grant funds to be driven by anything other than merit and established criteria.

Background:

Mr. Cole was appointed Interim Commissioner of the Department of State Health Services (DSHS) following the departure of Dr. David Lakey, who announced his resignation in early January.

The DSHS Commissioner is a statutorily designated member of the PIC. As a PIC member, Commissioner Cole is called upon to exercise discretion related to whether applications proposed for grant awards by the peer review committees should be recommended to the Oversight Committee for final approval.

DSHS is a CPRIT grant recipient, which implicates conflict of interest concerns. Health & Safety Code Section 102.106(c)(3) mandates that a professional conflict of interest exists if a PIC member is an employee of an entity applying to receive or receiving CPRIT funds. Furthermore, CPRIT’s administrative rule 702.13(c) categorizes this type of professional conflict of interest as one that raises the presumption that the existence of the conflict may affect the impartial review of all other grant applications submitted pursuant to the same grant mechanism in the grant review cycle. A person involved in the review process that holds one of the conflicts included in the Section 702.13(c) “super conflict” category must be recused from participating in the “review, discussion, scoring, deliberation and vote on all grant applications competing for the same grant mechanism in the entire grant review cycle, unless a waiver has been granted...”

CPRIT's administrative rule Section 702.17(3) authorizes the Oversight Committee to approve a waiver that applies for all activities affected by the conflict during the fiscal year. The Oversight Committee previously approved a conflict of interest waiver for Dr. Lakey for FY 2014 and FY 2015.

Commissioner Cole has the same conflict of interest, which necessitates approval a conflict of interest waiver for FY 2015. The recommendations and limitations in Commissioner Cole's waiver remain the same as previously approved by the Oversight Committee for Dr. Lakey.

Exceptional Circumstances Requiring Commissioner Cole's Participation

In order to approve a conflict of interest waiver, the Oversight Committee must find that there are exceptional circumstances justifying the conflicted individual's participation in the review process. Commissioner Cole's participation in the review process is compelled by the statute. In order to fulfill legislative intent that the DSHS Commissioner serve as a PIC member, the proposed waiver must be granted. The proposed limitations will substantially mitigate any potential for bias.

Proposed Waiver and Limitations

In granting the waiver of the conflict of interest set forth in Section 102.106(c)(3), I recommend that Commissioner Cole be permitted to continue to perform the following activities and duties associated with CPRIT's review process subject to the stated limitations:

1. Attend and participate fully in the PIC meetings except that Commissioner Cole shall not participate in the PIC's discussion or vote on grant award recommendations to be made to DSHS;
2. Have access to grant application information developed during the grant review process, except for information related to DSHS applicants, if any; and
3. Provide information to the Oversight Committee or CPRIT personnel about the grant review process and applications recommended by the PIC for grant awards, including answering questions raised by the Oversight Committee or CPRIT personnel. To the extent that information is provided by Commissioner Cole on his own initiative in a review cycle in which DSHS is a grant applicant, the information provided by Commissioner Cole should be general information related to the overall grant application process and not advocate specifically for a grant application submitted by DSHS.

CPRIT's Compliance Officer is statutorily required to attend PIC meetings to document compliance with CPRIT's rules and processes, including adherence to this limitation. The Compliance Officer shall report to the Oversight Committee any violation of this waiver prior to the Oversight Committee's action on the PIC recommendations.

Important Information Regarding this Waiver and the Waiver Process

- The Oversight Committee may amend, revoke, or revise this waiver, including but not limited to the list of approved activities and duties and the limitations on duties and activities. Approval for any change to the waiver granted shall be by a vote of the Oversight Committee in an open meeting.
- This waiver is limited to the conflict of interest specified in this request. To the extent that Commissioner Cole has a conflict of interest with an application that is not the conflict identified in Section 102.106(c)(3), then Commissioner Cole will follow the required notification and recusal process.