

2017

# ANNUAL REPORT



CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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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 § 102.052, please accept this annual report from the Cancer Prevention and Research Institute of Texas (CPRIT or Institute). This document summarizes CPRIT's activities in state fiscal year 2017 and outlines how CPRIT is fulfilling its mission of reducing the burden of cancer in Texas.

Despite advances, cancer is the leading cause of death for Texans under the age of 85. More than 100 Texans die from cancer every day. Although the tragic emotional and physical toll of cancer is incalculable, in purely economic terms cancer cost the state an estimated \$38.7 billion in direct medical costs and mortality losses in 2017. This is an eleven percent increase over the \$34.9 billion cancer cost the state in 2016. In light of Texas' emerging demographics and growing population, the state's cost of cancer is unlikely to decline unless significant changes are made.

It has been said that nations that lead on the frontier, lead in the world. We can say the same for states — states that lead on the frontier, lead in the nation. Texans took a major step forward to address the emotional and economic costs of cancer when they voted to create CPRIT and dedicate \$3 billion to cancer research and prevention efforts. The state recently observed the 10<sup>th</sup> anniversary of that historic vote. Through August 2017, CPRIT has announced 1,189 awards for prevention, academic research, and product development research grants totaling nearly \$1.9 billion. CPRIT's programs are at the forefront of scientific knowledge and form the only such cancer initiative among the fifty states.

During the 2017 Texas legislative session, CPRIT requested an extension of its statutory sunset date from August 31, 2021, to August 31, 2023. We are gratified that the final vote on this legislation passed overwhelmingly in both chambers, indicating continued support and confidence in the Institute's activities. The extension allows CPRIT to utilize fully the

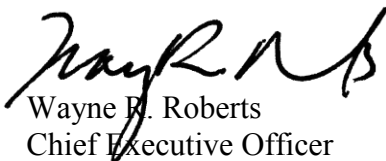
\$3 billion authorized by the citizens of Texas in 2007 when they inaugurated this historic state mission to fight cancer.

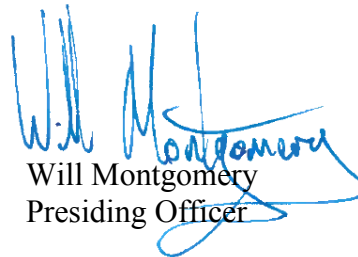
The year covered in this report sustains the momentum CPRIT has realized since 2007. We highlight many of our grantees' tangible results here. CPRIT's projects have created high quality jobs, supported critical lab infrastructure assets, and along the way, helped thousands of cancer patients extend their lives. CPRIT is delivering promised benefits today. Through CPRIT and in thousands of personal ways, *Texans Conquer Cancer*.

CPRIT is grateful for the advocates from numerous cancer-related organizations and for those affected by cancer who are working every day to reduce the burden of cancer across the state. Their dedication and support inspire us daily in our efforts to serve all Texans.

On behalf of the CPRIT Oversight Committee and the Institute's staff, thank you and all members of the Texas Legislature for allowing us to make 2017 another productive year. We look forward to new opportunities to fulfill our mission to improve the health and lives of our fellow Texans.

Sincerely,

  
Wayne R. Roberts  
Chief Executive Officer

  
Will Montgomery  
Presiding Officer

## CPRIT'S STATUTORY AUTHORITY

Created by the Texas Legislature and authorized by Texas voters in 2007, CPRIT began awarding grants in 2009 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.

### **CPRIT is statutorily charged 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.

The 85<sup>th</sup> Texas Legislature made several changes in 2017 to CPRIT's statutory authority, V.T.C.A., Health and Safety Code, Chapter 102. The most notable changes include extending CPRIT's sunset date from 2021 to 2023 to allow full use of its \$3 billion constitutional funding authority, improving operational and fiduciary effectiveness through technical modifications, and authorizing the transfer of management and disposition of CPRIT royalty obligations and equity ownership to the Texas Treasury Safekeeping Trust Company.

## 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.

**The primary responsibilities of the Oversight Committee include:**

- Annually setting priorities for each grant program funded by the Institute (academic research, product development research and prevention);
- 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.

Texas' three elected leadership offices each appoint three private citizens to serve as Oversight Committee members for six-year terms. At least one member appointed by each of the leadership officers must be a physician or scientist with extensive experience in the field of oncology or public health.

**Members (as of August 31, 2017):**

*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

**Committee 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

**Vacant Position** (December 2015)

## REPORT FROM THE CHIEF EXECUTIVE OFFICER

This year CPRIT built on the momentum that started a decade ago with Texas' historic decision to invest \$3 billion for cancer research and prevention. Through fiscal year 2017, CPRIT has awarded \$1.881 billion, nearly 70% of the funds it estimates to be available for awards in its constitutional authorization. Texas' pledge is the only commitment of its kind and scope in the United States. CPRIT is improving Texas' national standing in both cancer research and the biomedical industry. Key metrics show that CPRIT's investments are transformational.

CPRIT is demonstrably making Texas a national leader in cancer research. An objective early indicator of CPRIT's effect on the quality of cancer research in Texas is the growing number of cancer centers designated by the National Cancer Institute (NCI) across the state. These designations are important because NCI centers anchor the national cancer research effort. Currently 69 NCI designated centers in 35 states and the District of Columbia form the backbone of NCI's programs for studying and controlling cancer. By conferring the "Designated Cancer Center" status, NCI recognizes an institution for its scientific leadership, resources, and depth and breadth of its research in basic, clinical, and/or population science.

The "Comprehensive Cancer Center" designation demonstrates an additional depth and breadth of research, as well as substantial transdisciplinary research that bridges these scientific areas. Before CPRIT, Texas had one comprehensive cancer center recognized by NCI. Now there are three. In the last two years, The University of Texas Southwestern Medical Center and Baylor College of Medicine have joined The University of Texas MD Anderson Cancer Center in this prestigious group. The University of Texas Health Science Center at San Antonio is also an NCI Cancer Center, and with CPRIT support is moving forward aggressively to achieve comprehensive designation.

CPRIT is catalyzing the life sciences industry across the state. Life science venture capitalists invest \$500 million in Texas annually. This is barely more than two percent of

the total U.S. life sciences venture capital investment. CPRIT's average annual \$52 million in life science product development research funding substantially builds upon the amount of venture capital investment in Texas. By the end of fiscal year 2017, CPRIT's \$329.6 million in announced company awards have resulted in an additional \$1.37 billion in follow-on life science funding raised by these Texas-based companies. Without CPRIT, it is likely that many of the companies and associated private sector follow-on investment would have gone to the East or West Coasts, the historical loci of the life science industry.

CPRIT is improving the health of Texans today by funding effective, evidence-based cancer prevention programs. CPRIT's Prevention Program focuses primarily on increasing the availability of screenings for colorectal, breast, and cervical cancers among medically underserved Texans and improving cancer education and awareness for both the public and health care providers. CPRIT has awarded \$195.1 million to fund more than four million prevention services in all 254 Texas counties since 2009. The screenings have identified nearly 12,000 cancers or cancer precursors. CPRIT gives these Texans a fighting chance to beat cancer at an early stage.

The question is often asked: "When are you going to cure cancer?" Cancer is cured now, one discovery at a time. Prevention and cures for cancer are made possible with every advancement. CPRIT investments connect universities, researchers, physicians, companies, hospitals, and clinics across our state forming a critical mass of distinguished cancer-fighting talent. CPRIT is proud to be part of this connectivity. We have highlighted three advances resulting from CPRIT funding to illustrate CPRIT's contribution to this process. Other milestones and key accomplishments for CPRIT grant recipients are discussed throughout this report.



### **Highlighting CPRIT's Advances**

- Texans with melanoma, lung cancer, bladder cancer, lymphoma, leukemia and osteosarcomas are benefitting from participation in CPRIT sponsored clinical research of novel immunotherapies. These powerful new cancer therapies include the immune checkpoint inhibitors that are based on research by CPRIT Scholar Dr. James Allison of The University of Texas MD Anderson Cancer Center and T-cell therapies based on CPRIT funded research to harness a patient's own immune system. More than 100 clinical trials supported by CPRIT are underway, treating nearly 9,400 patients.
- CPRIT supported a team of scientists, surgeons, and engineers led by Assistant Chemistry Professor Livia Schiavinato of The University of Texas at Austin, that also included Baylor College of Medicine and The University of Texas MD Anderson Cancer Center in developing a new handheld device that rapidly and accurately identifies cancerous tissue during surgery, delivering results in about 10 seconds – more than 150 times as fast as existing technology. The “MasSpec Pen” is an innovative instrument that promises to give surgeons precise diagnostic information about what tissue to cut or preserve as they are performing surgery, helping to improve treatment and reduce the chances of cancer recurrence.
- CPRIT supported work at cancer therapeutic company Cell Medica that developed a novel process to modify the body's immune cells to target and kill cancer cells while leaving normal healthy tissue unharmed. The technology involves Epstein-Barr virus (EBV)-targeted T-cells, and is showing exciting results in Phase 2 clinical studies. Cell Medica is working in partnership with Baylor College of Medicine under an exclusive license and co-development agreement. This collaboration is expected to generate a considerable number of new products for Cell Medica's pipeline.

Reflecting on 2017, the Institute is excited about the momentum in cancer research and prevention pushing Texas forward. We are proud of what has been done to this point, but the journey continues. There is much good to do on the road ahead.

## THE IMPACT OF CANCER IN TEXAS AND THE STATE'S RESPONSE

It is estimated that doctors will diagnose more than 116,000 Texans with cancer in 2017, with an estimated 40,260 dying of the disease this year. Cancer is the leading cause of death for people younger than 85, and should surpass heart disease as the overall leading cause of death within this decade. One in two men and one in three women will receive a cancer diagnosis in their lifetimes. Improvements in treatment and earlier detection mean that the number of people diagnosed and living with cancer in the state will continue to increase as Texas' population grows and ages.

### **Cost of Cancer to Texas**

According to the report [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](#), by The Perryman Group, direct medical costs and morbidity and mortality losses in the state totaled \$38.7 billion in 2017, up from \$34.9 billion in 2016 and \$31.3 billion two years ago.

#### **Cancer costs the Texas economy:**

- \$204.5 billion in reduced annual spending;
- \$100.8 billion in output losses annually; and
- 1,045,800 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	\$5.3 million (FY 2016)
Texas Medicaid	\$226 million (FY 2016)
Teacher Retirement System of Texas	\$378.4 million (FY 2016)
Employees Retirement System of Texas	\$314 million (FY 2016)

*\*Most recent data available*

### **National Cancer Funding**

Historically, Texas lags other states in the amount of cancer research funding received from the federal government. Although Texas has 8.4% of the U.S. population and 9.4% of the national gross domestic product, the state receives only 7% of National Cancer Institute (NCI) research awards and 4% of National Institutes of Health (NIH) awards on a five-year rolling average. CPRIT’s \$220 million investment annually in cancer research exceeds the NCI’s \$208 million cancer research grant funding average in Texas.

Over the past several years, the level of federal funding for cancer research has been inconsistent, declining for several years before temporarily rebounding between 2014 and 2016. CPRIT’s vital role as the state’s primary source of cancer research and prevention funding will be greater in years to come, particularly if federal funding declines.

## CPRIT's Economic Impact for Texas

### Overall Impact of CPRIT's Activities and Investments

The creation of high-quality new jobs for Texas is a part of CPRIT's statutory mission. Through the end of fiscal year 2017, according to the Perryman Group's report, the overall impact of CPRIT's activities and investments is:

- Nearly \$10.9 billion in Texas business activity;
- Over 98,000 jobs created through direct and indirect economic activity; and
- \$513.4 million in state tax receipts and \$239.8 million in local government tax receipts.

In addition to its economic impact, CPRIT's efforts also enable Texans' prosperity by reducing the economic costs of cancer. Including initial outlays and secondary effects, every \$1 that CPRIT invests in screening programs results in \$24.04 savings in treatment costs, preserved productivity, and other economic benefits through earlier detection of cancers. It is also estimated that every \$1 spent on screening/prevention saves \$1.81 in direct health spending.

The Perryman Group also considered the alternative use of funds from another perspective. If the state did not extend CPRIT's programs and instead put the CPRIT funding to use in a non-cancer endeavor for another ten years, Texas will see a net cumulative economic loss of \$114.3 billion in lost gross product and 1,030,221 of lost person years of employment. The Perryman Group's estimated fiscal losses to Texas state tax receipts at \$5.4 billion, and local governments at \$2.5 billion.

## DIVERSITY INITIATIVES

Cancer is an equal opportunity disease; it does not discriminate. However, those that fall within a certain demographic, geographic area, or genetic profile may have unequal cancer experiences and likelihood of survival. The reasons for health disparities are complex and inter-related.

Those at lower socio-economic levels, regardless of racial/ethnic background, are less likely to have recommended cancer screening tests and thus more likely to be diagnosed with late-stage cancer. Many cannot afford to live or work in safe and healthy conditions and experience higher rates of exposure to environmental risk factors. Socioeconomic status also influences access to quality health care and affordable insurance. Along with socioeconomic factors, behavioral factors such as greater tobacco use or physical inactivity contribute to the inequality in cancer incidence and outcomes.

Texas geography also presents challenges. The State designates 177 of its 254 counties as rural counties. While cancer incidence rates are higher in metropolitan areas, those living in rural areas are more likely to die from cancer. Disparities in incidence and survival rates persist between border and non-border counties.

Finally, biological differences appear to play a role in cancer disparities. Advances in genomics and other technologies improve our understanding of how biological differences may contribute to health disparities and how biological factors interact with other factors, such as diet and the environment.

CPRIT's Oversight Committee has made addressing cancer disparities a high priority. CPRIT has funded prevention projects targeting the historically underserved and emphasized cancer research efforts affecting minority populations. While building a cancer-fighting ecosystem in Texas, CPRIT is aware that reaching diverse populations includes building a workforce within this ecosystem that reflects diversity. Some examples demonstrating CPRIT's commitment to addressing cancer disparities are described in the next several pages.

## Addressing Disparities through Prevention

### MHP Salud Colonia Outreach Program

The Rio Grande Valley (RGV) located along the U.S.-Mexico border is home to high rates of colorectal and breast cancer and the highest rates of cervical cancer incidence and mortality in the state. MHP Salud, a national nonprofit organization that implements and runs Community Health Worker, or Promotor(a) programs, uses CPRIT funds to implement a Colonia Outreach Program for education on cancer screening in the RGV colonias. Colonias, which means “communities” or “neighborhoods” in Spanish, may lack some of the most basic living necessities, such as potable water and sewer systems, electricity, paved roads, and safe and sanitary housing.

MHP Salud, in partnership with Nuestra Clinica Del Valle (NCDV) has developed an effective system to ensure eligible patients receive culturally and linguistically appropriate education on colorectal, breast, and cervical cancer screening. NCDV refers patients to a MHP Salud Promotor(a) who provides health insurance navigation to patients prior to their screening. Since the Promotor(a) is integrated into NCDV’s process, the collaboration is successfully improving screening rates and making lasting changes for the RGV community.

Since starting the program in May 2015, nearly 3,400 individuals in the RGV colonias and surrounding areas of Hidalgo and Starr county have received one-on-one, Promotor(a)-facilitated outreach and education related to cancer screening at NCDV’s eleven clinics. The CPRIT-funded program has successfully identified cancers in the target community:

- 506 breast cancer screenings completed with 29 positive results identified;
- 246 cervical cancer screenings completed with 3 positive results identified; and
- 455 colorectal cancer screenings completed with 5 positive results identified.

This project provides one of Texas’ most vulnerable and underserved communities access to education, screening services, and care, including appropriate insurance enrollment when cancer is diagnosed.

## The Asian American Health Coalition - HOPE Clinic

Houston's foreign-born Asian population is fast-growing, increasing 48% between 2000 and 2010. More than 4,000 refugees settled in Harris County between 2011 and 2012.

### **Ethnic Asian populations in Houston face significant cancer disparities**

- The incidence and mortality rate of liver cancer in the local Asian population is 69% and 36% higher, respectively, compared to Harris County overall.
- Breast cancer is the leading cancer diagnosis among Asian American women. However, as an ethnic group, Asian American women are the least likely to receive a mammogram.
- Although colorectal cancer is among the three most commonly diagnosed cancers for Asian Americans, this group has the lowest colorectal cancer screening rates of all ethnic groups.
- Cervical cancer also affects Asian populations disproportionately. The American Cancer Society reports that the Vietnamese have the highest incidence and mortality rates of cervical cancer.
- Lung cancer is the leading cause of cancer deaths for Asian American women and second leading cause for Asian American men.

With a staff that speaks more than 22 languages, CPRIT grantee HOPE Clinic is uniquely suited to serve Asian immigrants living primarily in Southwest Houston as well as refugees that may come from elsewhere in the city. HOPE Clinic provides primary and preventive care for approximately half of Houston's Asian refugees. Asian immigrants and refugees can be hard to reach because of differences in language, habits, customs, and values. Barriers to accessing prevention and quality health services include linguistic isolation, insufficient health information, and a shortage of ethnically sensitive and culturally competent health facilities.

HOPE Clinic provides linguistically and culturally competent prevention and related education services to address breast, cervical, and liver cancer. As recently as 2013, 73% of HOPE Clinic patients were best served in a language other than English. Among other

evidence-based strategies, HOPE Clinic uses the Chronic Care Model from the National Health Disparities Collaboratives to develop a comprehensive, cost effective and high-quality cancer control program. Projects for Asians and refugees incorporate tailored strategies for reaching out to distinct ethnic groups with special expertise. HOPE Clinic providers offer clinical evidence-based services such as clinical breast exams, mammography, diagnostic mammograms, Pap tests, coloscopies, Hepatitis B screenings, and vaccines to prevent Hepatitis B and the Human Papilloma Virus (HPV). Translators, patient educators, care coordinators, and outreach staff provided by HOPE Clinic complement education and outreach strategies tailored to the multicultural target population.

### **Focusing on Cancers of Significance in Texas**

Since 2015, all CPRIT academic research Requests for Applications (RFA) include information regarding the Oversight Committee's program priorities. These priorities have driven interest in research focused on population disparities and three cancers of high importance in Texas – lung cancer, liver (hepatocellular) cancer, and cervical cancer. CPRIT has awarded 59 research grants in the past two years (17% of the CPRIT academic research awards made between fiscal years 2015 and 2017) targeting these cancers of significance and addressing the population disparities.

Liver cancer is becoming the fastest rising cause of cancer-related deaths in the country, and Texas has the highest death rate from liver cancer of any state. Many Texans, including a disproportionate number of Hispanics and African Americans, have Hepatitis C, Hepatitis B, or alcoholic liver disease, which are known risk factors for liver cancer.

Collaborating investigators at the four Texas NCI-designated cancer centers – Baylor College of Medicine, The University of Texas MD Anderson Cancer Center, The University of Texas Southwestern Medical Center, and The University of Texas Health Science Center at San Antonio – created the Texas Hepatocellular Carcinoma Consortium (THCCC). These institutions house the expertise to study the eradication of liver cancer in Texas and throughout the world. With CPRIT funding, the investigators are developing an

ecosystem of collaborative research institutions and forming the epicenter for liver cancer research.

### **Cancer Research Recruitment and Training Diversity Initiatives**

CPRIT's Academic Research Program works with academic centers located in geographic regions with a limited number of federal and CPRIT cancer research awards. Recent CPRIT Scholar recruitment awards to Texas Tech University Health Sciences Center at El Paso, Texas Tech University Health Sciences Center, and The University of Texas Health Science Center at Tyler are early indicators of the growing cancer research programs in these areas.

CPRIT's Research Training Awards to nine Texas institutions of higher learning facilitate the training of the next generation of outstanding cancer researchers. This provides a diverse pool of highly trained scientists available to address the state's and the nation's basic, population-based, clinical, and translational cancer research needs. CPRIT encourages individuals from underrepresented racial and ethnic groups, individuals with disabilities, and individuals from disadvantaged backgrounds to participate in CPRIT's training programs. In addition to predoctoral and postdoctoral research training, potential opportunities include undergraduate summer research internship programs, particularly those directed at recruiting underrepresented minorities. To receive a Training Award, the institution must devise a plan for recruiting underrepresented minorities.

20% of the trainees supported by CPRIT Research Training Awards are from racial and or ethnic backgrounds currently underrepresented in academic research.

## CPRIT GRANT PROGRAMS: PROGRAM PRIORITIES

The Texas Legislature charged the CPRIT Oversight Committee with establishing priorities for each of the Institute's three award programs on an annual basis. The priority-setting process provides transparency for how the Oversight Committee orients the Institute's funding portfolio between and within its three programs. The program priorities guide the development and issuance of program-specific RFAs and the review of submitted applications for grant awards.

The Oversight Committee annually reviews and adjusts the priorities as circumstances change and the latest information becomes known concerning cancer-related advances in prevention, academic research, and product development research. The Oversight Committee adopted program priorities for fiscal year 2017 at the committee's November 2016 meeting. Each program describes individual fiscal year 2017 priorities as well as the implementation of the program priorities in its section of this report.

A comprehensive report on CPRIT's program priorities for fiscal year 2017 can be found at [www.cprit.texas.gov/about-cprit/reports/](http://www.cprit.texas.gov/about-cprit/reports/).

## CPRIT GRANT PROGRAMS: ACADEMIC RESEARCH

In 2017, CPRIT's Academic Research Program awarded 118 grants totaling \$210.39 million. Since 2009, CPRIT has funded 968 academic research projects totaling \$1.35 billion at 35 institutions and organizations across the state.

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 distinct types of cancer, each named for the organ or type of cell from which it begins. It is a complex disease.

The academic research grant projects 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, and clinical researchers at the state's research institutions.

The goals of CPRIT's Academic Research Program are to:

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

CPRIT supports the most creative ideas and meritorious projects brought forward by the cancer research community in Texas. The overarching principles for awarding CPRIT funds are scientific excellence and impact on reducing the burden of cancer, both of which are critically important to enhance the life sciences infrastructure in Texas. This enables CPRIT's effect on cancer research to extend for years beyond the lifetime of the program.

Most important to developing Texas' life sciences infrastructure are the recruitment of preeminent researchers and the investment in core facilities. In 2017, Texas added 35 talented recruits to the stable of prestigious CPRIT research scholars. CPRIT has brought

148 premier cancer researchers to Texas since 2009, making this program the envy of research institutions across the nation. Recruiting new researchers brings additional resources to the state, including research funding and novel expertise, as well as help building the critical mass of science needed to attract capital for the development of products for cancer prevention, diagnosis, and treatment.

CPRIT's training programs that develop the next generation of cancer researchers and increase the diversity of the cancer research workforce are also important to growing and sustaining the state's life sciences infrastructure. Investments in core facilities assures that cancer researchers throughout the state have access to the most up-to-date technologies needed for cutting-edge cancer research.

CPRIT's Academic Research Program is notable for funding projects in critical, but underfunded areas of cancer research. Opportunities for the strategic deployment of funds include cancer prevention and early detection research, computational biology and analytic methods, childhood cancers, and cancers of importance in Texas (e.g., lung, liver, and cervical cancers) with an emphasis on population disparities.

### **Academic Research Program Priorities**

The fiscal year 2017 priorities adopted by the Oversight Committee for the Academic Research Program include funding projects that address:

- Recruitment of outstanding cancer researchers to Texas;
- Investment in core facilities;
- A broad range of innovative, investigator-initiated academic research projects;
- Prevention and early detection;
- Computational biology and analytic methods;
- Childhood cancers; and
- Population disparities and cancers of importance in Texas (lung, liver, cervix cancers).

Table 1 illustrates the targeted priorities as addressed by awards in fiscal year 2017.

TABLE ONE: FY 2017 DATA BY ACADEMIC RESEARCH PROGRAM PRIORITIES*		
Priorities Addressed	Number of Grants	Award Amount
Recruitment of outstanding cancer researchers to Texas	35	\$99,100,000
Investment in core facilities	11	\$46,560,000
A broad range of innovative, investigator-initiated academic research projects	41	\$38,770,000
Prevention and early detection	14	\$21,260,046
Computational biology and analytic methods	14	\$39,983,177
Childhood cancers	22	\$46,478,271
Population disparities and cancers of importance in Texas (lung, liver, cervix cancers)	21	\$40,896,125

*\*Some grants address more than one priority*

### **Review Process and Grant Mechanisms**

CPRIT academic research award applications undergo rigorous scientific reviews conducted by seven independent peer review panels. The peer review panels are composed of prominent cancer researchers that live and work outside of Texas, selected for their distinguished expertise.

CPRIT directs these experts to assess the research proposals based on scientific merit and potential impact on cancer. Eminent cancer researchers chair each of the seven panels. Together these seven chairs make up the Scientific Review Council, led by Richard Kolodner, Ph.D., a member of the National Academy of Sciences and Distinguished Professor in the departments of Medicine and Cellular and Molecular Medicine at the

University of California, San Diego School of Medicine, and head of The Ludwig Institute for Cancer Research in San Diego.

CPRIT utilizes a variety of grant award mechanisms to achieve the guiding principles and goals established for the Academic Research Program. During fiscal year 2017, CPRIT released several Requests for Applications (RFAs):

- *Recruitment Awards* and *Training Awards* build a critical mass of cancer researchers in Texas by supporting the recruitment of premier cancer researchers at all levels to academic institutions in Texas and training programs that educate pre- and post-doctoral fellows interested in cancer research.
- *Core Facilities Support Awards* facilitate the development or improvement of core facilities that provide valuable services to support and enhance scientifically meritorious cancer research projects.
- *Individual Investigator Research Awards (IIRAs)* support acquisition of new fundamental knowledge about cancer and cancer development as well as the development of state-of-the-art technologies and tools. Researchers may explore new methods and approaches for investigating a question of importance that the scientific community has not addressed adequately or for which there may be an absence of an established paradigm or technical framework. CPRIT also releases targeted IIRAs soliciting novel research proposals in childhood and adolescent cancers, computational biology, cancer prevention, and clinical translation.
- *High-Impact/High Risk Research Awards* provide short-term funding to explore the feasibility of high-risk projects that, if successful, contribute major new insights into the etiology, diagnosis, treatment, or prevention of cancers.
- *Multi-Investigator Research Awards* stimulate collaboration among researchers and clinicians working together on a common problem in cancer.
- *Early Translational Research Awards* support projects that "bridge the gap" between promising new discoveries achieved in the research laboratory and commercial development for a therapeutic, device, or diagnostic assay. Funding

supports activities up to and including preclinical proof-of-principle data that demonstrate applicability to the development of the clinical research plan.

### Academic Research Portfolio in Fiscal Year 2017

CPRIT awarded \$111.29 million in academic research grants in fiscal year 2017. These awards fund a broad range of innovative, investigator-initiated projects through 41 Individual Investigator Research Awards, 19 High-Impact/High-Risk grants, and 7 Early Translational Research Awards. Seven new Core Facilities Support Awards and the renewal of five Research Training Awards enhance Texas' cancer research capacity and life sciences infrastructure.

TABLE TWO: FY 2017 ACADEMIC RESEARCH AWARDS DATA  
 BY RFA MECHANISM

Funding Mechanism	Applications Received	Applications Awarded	Total Funding
Core Facilities Support Awards	30	11	\$46,560,000
Early Translational Research Awards	54	7	\$6,720,000
High-Impact/High-Risk	143	19	\$3,800,000
Individual Investigator Research Awards (IIRA)	292	26	\$22,280,000
IIRA Cancer in Children and Adolescents	45	7	\$8,040,000
IIRA Computational Biology	44	3	\$2,630,000
IIRA Prevention and Early Detection	35	5	\$5,820,000
Research Training Awards	9	5	\$15,440,000
<b>Total</b>	<b>652</b>	<b>83</b>	<b>\$111,290,000</b>

CPRIT addresses the priority to create a world-leading roster of cancer researchers in Texas by recruiting exceptional cancer scientists and clinicians, at all career levels, to academic institutions. CPRIT supported the recruitment of 35 cancer researchers to Texas in fiscal year 2017 with awards totaling \$99.1 million.

TABLE THREE: FY 2017 RECRUITMENT AWARDS DATA BY RFA MECHANISM			
Funding Mechanism	Applications Received	Recruitment Offers Made and Accepted	Total Funding
Established Investigators Award	17	7	\$41,100,000
Rising Stars	11	1	\$4,000,000
First-Time Tenure Track Faculty Members	55	27	\$54,000,000
<b>Total</b>	<b>83</b>	<b>35</b>	<b>\$99,100,000</b>

### Representative Academic Research Program Grants

CPRIT uses a variety of funding mechanisms to support promising new areas of research that address the priorities set by the CPRIT Oversight Committee. The CPRIT Oversight Committee has identified childhood cancers as a priority area for investment. In fiscal year 2017, CPRIT awarded \$48 million (23% of the total Academic Research Program funds) for childhood cancer research grants.

The focus on childhood cancer research is important. Despite advances in treating childhood cancer, there is a long way to go before the cure rates and the long-term consequences of therapy are acceptable. Nationally, the overall cure rate for all childhood cancers is approaching 70% and the overall five-year event-free survival rate is nearly 80%. Although current cancer treatments may be effective for some cancers, the treatments can cause significant and long-term side effects. The majority of childhood cancer survivors will experience severe or life-threatening effects of their cancer treatments as they age. CPRIT

funded research grants described here are developing more effective cancer treatments, including less toxic therapies.

## **Recruitment of Research Scholars**

### *Benjamin Fregly, Ph.D., Recruitment of Established Investigators, Rice University*

Dr. Benjamin Fregly, a mechanical engineer whose research is focused on biomechanical requirements of pelvic prostheses to restore walking function, joined Rice University in 2017 through a CPRIT Established Investigator Recruitment Award. He is working with collaborators in the Texas Medical Center to develop a center dedicated to preserving the walking function of patients undergoing surgery for osteogenic sarcomas – a cancer that disproportionately affects children and young adults.

Few cancer surgeries today are as invasive or life changing as those involving the pelvis, the ring-shaped bone that anchors both the spine and hips. For pelvic cancer patients, options include removal of the cancerous bone with no reconstructive surgery; reconstruction using a combination of cadaver bone and metal implants; or a custom-designed prosthesis. Removing key parts of the pelvis can keep patients off their feet for more than a year. Outcomes are so variable that patients often go into the operating room without a clear idea of what their walking ability will be after surgery.

Dr. Fregly's goal is to maximize each patient's ability to walk after surgery. He has more than 30 years' experience building computer models to predict how well a patient will function after surgery or rehabilitation. Using motion-capture technology like that used by the film industry, Dr. Fregly and his colleagues build personalized computer models of patients. Each potential treatment has benefits and drawbacks; these models can simulate post-treatment function for a range of treatment options considered by the physician.

Dr. Fregly's research helps not only in the design of an appropriate prosthesis, but also in guiding the surgeon in how best to preserve function while at the same time removing the cancer. Working at Rice University allows Dr. Fregly to collaborate closely with surgeons at The University of Texas MD Anderson Cancer Center, Rice University mechanical

engineers who provide expertise in the design and 3D printing of custom prostheses, and orthopedic researchers at The University of Texas Health Science Center at Houston who conduct human movement testing for each patient.

### **Individual Investigator Research Awards for Cancer in Children and Adolescents**

*C. Patrick Reynolds, M.D., Ph.D., Telomere Maintenance Mechanisms in Neuroblastoma, Texas Tech University Health Sciences Center*

Neuroblastoma is a childhood cancer that can spontaneously regress without therapy or relentlessly progress despite intensive chemotherapy. The remarkable behavioral differences observed in neuroblastomas makes it difficult to decide which tumors will require aggressive treatment. Dr. Reynolds' project will enable a new classification of neuroblastomas into risk groups that will then be used to determine which children should be treated and the intensity of therapy.

Dr. Reynolds is researching biomarkers to better identify and classify those neuroblastomas requiring treatment and to develop novel therapeutic targets for those tumors resistant to chemotherapy. He uses telomerase as a candidate biomarker based on its role in maintaining the ends of chromosomes, called telomeres, that would otherwise erode, which can lead to cell death. Telomerase maintains tumor cell telomeres by adding DNA to the ends of chromosomes. These studies leverage a collaboration with the nationwide Children's Oncology Group to access a large inventory of neuroblastoma tissues with known clinical outcomes.

### **Multi-Investigator Research**

*Stephen Skapek, M.D., Molecularly Targeted Therapy for Soft Tissue Sarcoma in Texas, The University of Texas Southwestern Medical Center, Baylor College of Medicine, The University of Texas Health Science Center at San Antonio, and Texas Children's Hospital*

This multi-investigator research award uses genomics and bioinformatics tools to explore the biology of two types of sarcoma that commonly strike children and young adults, soft tissue sarcoma (STS) and the Ewing sarcoma family of tumors (ESTF), and to translate this

knowledge into clinical practice across the state. The projects are employing sophisticated computation tools and laboratory models to sift through the genetic abnormalities that drive sarcoma growth. The effort brings together a multidisciplinary team of physicians and scientists at four Texas institutions.

New therapy is needed desperately because less than 20% of patients with disseminated STS or ESTF will survive five years after diagnosis. This survival rate has not improved in many years, despite the use of aggressive treatments incorporating surgery, radiation, and chemotherapy associated with life-threatening or life-changing side effects.

This collaborative effort establishes the capacity to detect the key genetic changes – called actionable mutations – in childhood soft tissue sarcomas across Texas in real time so that physicians can use the information to choose the molecularly targeted drugs most likely to work in an individual sarcoma patient. The immediate goal is to revolutionize the care of children and young adults with STS or ESTF, improving their survival by giving therapy that is personalized to meet their needs.

The CPRIT award supports a team of clinicians and scientists and multi-faceted core resources. The team includes medical and pediatric oncologists, clinical researchers and laboratory-based scientists, anatomic and molecular pathologists, and genomics and bioinformatics experts. Key resources include the state-wide sarcoma sample collection in conjunction with molecular diagnostics studies (which will be of immediate help to sarcoma patients), and the bioinformatics and computation expertise needed to integrate the discovery work and functional validation studies into clinically-meaningful information. Research conducted in this project will improve the lives of Texans with sarcoma from the initial phases of the project, culminating in practice-changing clinical trials.

## **Core Facility Support Awards**

*Peter Houghton, Ph.D., Texas Pediatric Patient Derived Xenograft Facility, The University of Texas Health Science Center at San Antonio*

The Texas Pediatric Patient-Derived Xenograft (PDX) tumor repository allows basic oncology research questions to be addressed using models of childhood cancers that more closely resemble human cancer. The PDX tumor models transplant fresh human tumor specimens from cancer patients directly into mice, creating a model that is much closer to human cancer than traditional xenograft models. These models are valuable for identifying novel therapeutics. Some of the drugs and drug combinations first tested in PDX models have now become standard of care.

Despite this progress, current models do not fully represent the genetic diversity known to exist in the spectrum of childhood cancers. Only a few models have been derived from tumors in Hispanic children, who generally have poorer outcomes. With CPRIT support, this core facility established a coordinated effort to develop and characterize new PDX models primarily from Hispanic and underserved children in Texas.

The new PDX models are generated using state-of-art molecular approaches and made available to pediatric cancer researchers in Texas and more broadly. PDX models already distributed have been important in furthering the understanding of the biology and therapy of childhood cancers. These new PDX models, representing a renewable resource, improve our coverage of the genetic diversity of childhood cancer and provide urgently needed materials that will enhance childhood cancer research.

A full list of projects in the CPRIT Academic Research portfolio is found at <http://cprit.texas.gov/funded-grants>

## CPRIT GRANT PROGRAMS: PREVENTION

CPRIT's Prevention Program awarded 17 grants totaling \$26 million in fiscal year 2017. To date, CPRIT's Prevention Program has funded 189 grants totaling \$195.1 million.

We can prevent approximately half of all cancers. However, the ability to reduce cancer death rates depends, in part, on more broadly applying evidence-based prevention interventions currently available. CPRIT's prevention grant awards make it possible for prevention interventions and services to reach more Texans to decrease the burden of cancer. Through its Prevention Program, CPRIT invests in effective community-based interventions so that new technologies and services are made available across the state, with priority given to areas and populations that are underserved.

Because of proven prevention interventions, early detection, and better treatments, we are seeing steadily declining mortality rates. Texas has seen a drop in the death rates from cancer by seven percent between 2009 and 2014 (the latest data available); this translates to nearly 6,800 averted deaths. This is due to the efforts of everyone in the state who is addressing cancer incidence and mortality.

Preventing cancers or detecting them early also provides economic benefits to the state. According to The Perryman Group, every \$1 spent through CPRIT for screening and prevention leads to \$24.04 in treatment cost-savings, preserved productivity, and other economic benefits through earlier detection of cancers.

The Prevention Program's guiding principles are funding evidence-based interventions and funding these interventions across the prevention continuum. CPRIT funds prevention programs and services, for any cancer type, that are culturally appropriate for the target population and validated by documented research or applied evidence.

**CPRIT funds quality Prevention Program 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).

**Prevention Program Priorities**

The fiscal year 2017 program priorities adopted by the Oversight Committee for the Prevention Program include funding projects that prioritize:

- Populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence;
- Geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence; and
- Underserved populations.

Table 4 illustrates targeted priorities as addressed by the 17 prevention awards made in fiscal year 2017.

TABLE FOUR: FY 2017 FUNDING BY PREVENTION PROGRAM PRIORITIES*		
Priorities Addressed	Number of Grants	Award Amount
Prioritize populations disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.	11	\$14,229,009
Prioritize geographic areas of the state disproportionately affected by cancer incidence, mortality, or cancer risk prevalence.	10	\$15,068,341
Prioritize underserved populations.	17	\$26,043,833

*\*Some grants address more than one priority*

## Review Process and Grant Mechanisms

CPRIT Prevention grant applications undergo peer review by two independent peer review panels. A renowned public health expert chairs each panel. CPRIT selects peer reviewers from outside of Texas who are prominent public health experts that can assess the merit and potential impact on cancer. The Prevention Review Council, made up of the two panel chairs and a Review Council Chair, conducts the second stage of review focusing on programmatic considerations. These may include geographic distribution, cancer type, population served, and type of program or service.

The Institute uses a variety of grant award mechanisms to achieve the goals of the Prevention Program. These include:

- *Tobacco Control and Lung Cancer Screening Awards* support projects that address tobacco prevention and cessation, as well as screening for early detection of lung cancer for high risk populations. CPRIT issued this award for the first time in fiscal year 2017;
- *Evidence-Based Cancer Prevention Services Awards* fund projects that provide the delivery of evidence-based prevention services (e.g., primary prevention, screening, survivorship services);
- *Colorectal Cancer Prevention Coalition Awards* seek projects that deliver comprehensive and integrated colorectal cancer screening that includes provision of screening, diagnostic, and navigation services in conjunction with outreach and education of the target population through a coalition of partners;
- *Competitive Continuation/Expansion for Evidence-Based Cancer Prevention Services Awards* provide support for continuing or expanding highly successful CPRIT projects;
- *Cancer Prevention Promotion and Navigation to Clinical Services Awards* fund projects that deliver public education, outreach, and navigation to cancer screening and preventive services;



- *Dissemination of CPRIT-Funded Cancer Control Interventions Awards* support projects that facilitate the dissemination and implementation of successful CPRIT-funded, evidence-based cancer prevention and control interventions across Texas;
- *Behavior Change Through Public and Professional Education and Training Awards* provide funding for projects that propose health care professional education and training and/or health promotion, public education, and outreach. Eligible programs include primary prevention, early detection, and survivorship of cancer; and
- *Evidence-Based Cancer Prevention Services – See, Test & Treat Program Awards* support projects that follow the CAP Foundation's “See, Test & Treat” model to offer Pap tests and mammograms with same day results; provide information on prevention, risk reduction, and early detection; and navigate participants to diagnostic testing and treatment as needed.

### **Prevention Program Grants Active in Fiscal Year 2017**

CPRIT awarded 17 new Prevention Program awards in fiscal year 2017. Ninety Prevention Program projects were active during the fiscal year. Of the 90 projects actively providing programs and services to Texans, 79% focused on clinical service delivery, 9% on professional education and training and 12% focused on public education and outreach.

Table 5 below lists all the active Prevention Program projects by the type of grant award.

TABLE FIVE: PREVENTION AWARDS ACTIVE IN 2017 BY GRANT TYPE				
Funding Mechanism	Projects Awarded FY 2017	Total Award Amount	Active Projects FY 2017	Total Award Amount
Evidence-Based Cancer Prevention Services	6	\$8,283,474	43	\$60,495,159
Colorectal Cancer Prevention Coalition	2	\$5,972,794	6	\$17,761,321
Competitive Continuation/Expansion for Evidence-Based Cancer Prevention Services	6	\$8,836,073	25	\$34,483,387
Evidence-Based Cancer Prevention Services – See, Test & Treat® Program	0	\$0	2	\$48,124
Cancer Prevention Promotion and Navigation to Clinical Services	0	\$0	3	\$1,179,645
Dissemination of CPRIT-Funded Cancer Control Interventions	1	\$300,000	5	\$1,499,544
Behavior Change Through Public and Professional Education and Training	0	\$0	4	\$1,449,805
Tobacco Control and Lung Cancer Screening	2	\$2,651,492	2	\$2,651,492
Totals	17	\$26,043,833	90	\$119,568,477

### Prevention Program Impact

To date, CPRIT's Prevention Program has funded 189 grants totaling \$195,117,949. The prevention grantees have delivered over 4 million services to Texans. These include 1.87 million education and training services and 2.17 million clinical services. The clinical

services provided by CPRIT grantees consist of screenings and diagnostic services as well as vaccinations, tobacco cessation, genetic testing and counseling, and survivor care services.

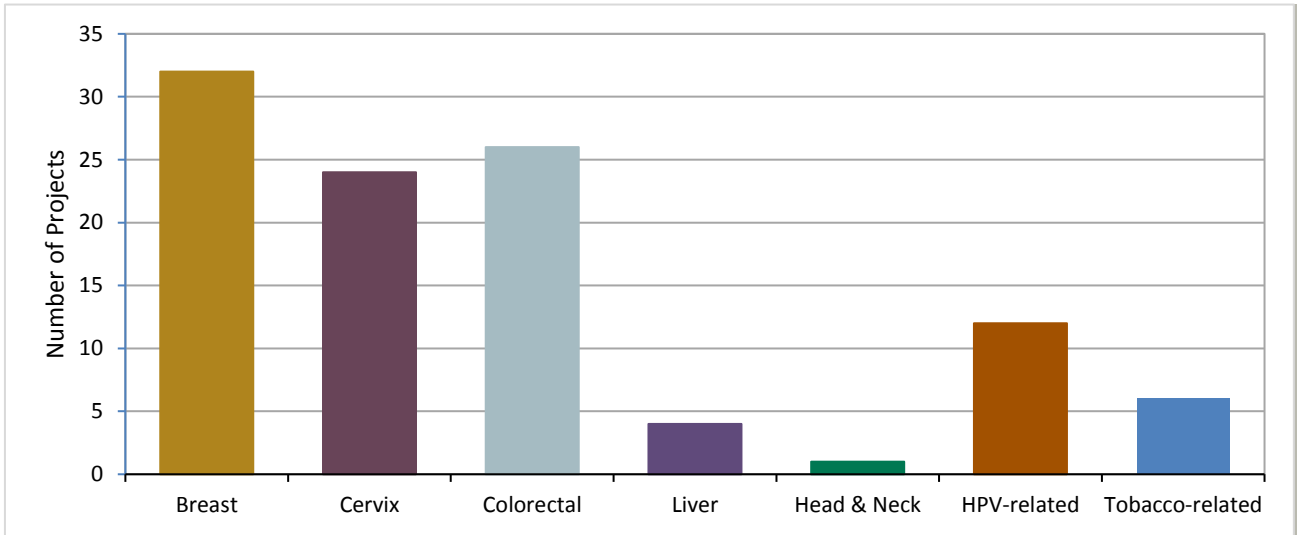
**Prevention grantees report that CPRIT projects have delivered:**

- 159,410 prevention vaccinations;
- 205,014 tobacco cessation services;
- 20,353 genetic testing and counseling services;
- 17,593 survivor care services; and
- 1,021,953 screenings and diagnostics for breast, cervical, colorectal, and HPV-related cancers as well as hepatitis screening, with 337,517 recipients who had never been screened before.

**CPRIT funded screening and diagnostic projects detected 8,761 cancer precursors and 3,129 cancers.**

In addition to the impact on the health of people in Texas, CPRIT's prevention grants benefit the healthcare system and foster greater collaborations. Health system improvements include decreasing wait times for diagnostic testing, reducing the number of people lost to follow-up, implementing patient reminder systems, enhancing electronic medical records, and training a cadre of community health care workers to help educate and navigate people through the system. These grants also stimulate greater collaboration among professional colleagues, academic institutions, community organizations, and clinics.

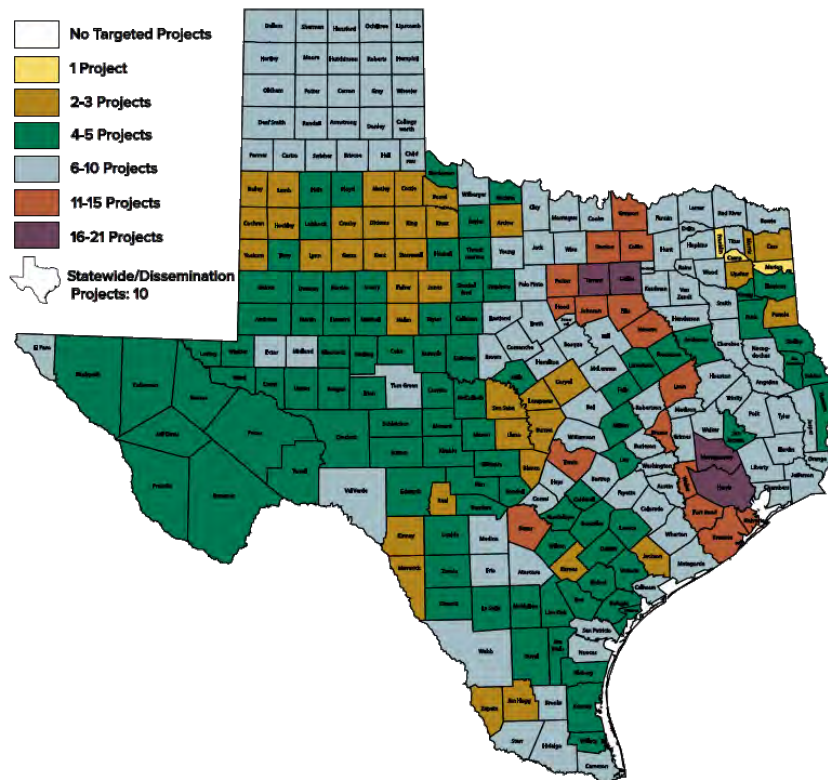
### Number of Active Prevention Projects by Cancer Site



**Figure 1. Map of Prevention projects**

The 90 projects active during fiscal 2017 reached residents in every county of the state.

COUNTIES OF RESIDENCE OF POPULATIONS SERVED BY CPRIT PREVENTION PROJECTS  
90 ACTIVE PROJECTS – FY 2017



### **Program Reach: Rural Texans**

Most Texas counties (172 of 254 counties) are classified non-metropolitan and more than 90% of Texas counties are considered medically underserved. Cancer incidence rates are higher in metropolitan than rural areas; however, those who live in rural areas are less likely to have access to care and health care professionals, less likely to be screened than their counterparts in urban and suburban areas, and more likely to die from cancer. The mortality rates for all races in metropolitan counties is 159 deaths per 100,000 people versus 175 per 100,000 in non-metropolitan counties.

The diverse Texas geography presents challenges for the delivery of preventive services and health care. CPRIT grantees use an array of innovative strategies to reach the underserved in geographically isolated areas. These include establishing partnerships and coalitions of service providers, increasing staff support, using mobile clinics, and tele-mentoring and telemedicine technologies.

### **Program Reach: Colorectal Cancer Initiative**

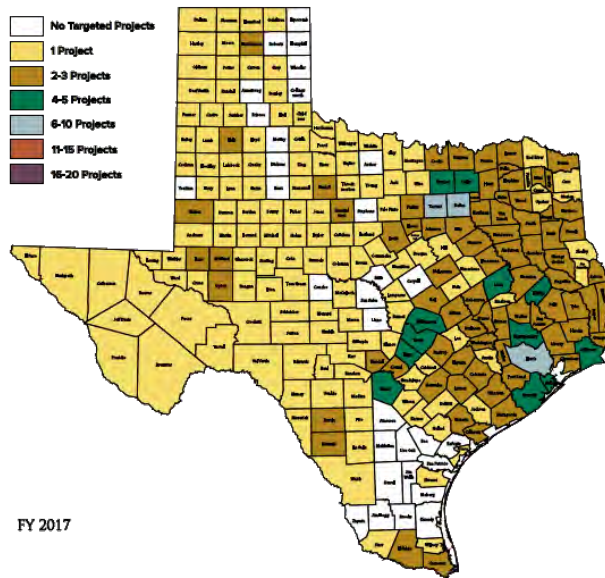
Colorectal cancer (CRC) is the second leading cause of cancer death after lung cancer. Incidence and mortality rates are higher in non-metropolitan Texas counties compared with metropolitan counties.

There are proven cancer prevention strategies that can prevent CRC or detect it at an early stage when treatment is more effective. One of the Prevention Program's targeted RFAs supports the formation of CRC coalitions for the delivery of comprehensive evidence-based education, screening, and diagnostic services. The goal is to reduce health disparities in CRC screening, incidence, and mortality. There is a particular need for these projects in North and Northeast Texas (Public Health Regions 2, 4, and 5), which have the highest rates of cancer incidence and mortality.

CPRIT funded 20 CRC projects in fiscal year 2017. These projects reach Texans in the majority of Texas' counties, as shown in Figure 2. One active project supports a statewide CRC coalition that shares lessons learned and common challenges.

**Figure 2. Map of CRC projects**

COUNTIES OF RESIDENCE OF POPULATIONS SERVED – 20 ACTIVE PROJECTS  
CLINICAL SERVICE DELIVERY – SCREENING/EARLY DETECTION – COLORECTAL



**Representative Prevention Program Grants**

*Dr. Barbara J Turner, STOP HCC-Evidence-Based Hepatocellular Cancer Prevention Targeting Hepatitis C Virus Infection, The University of Texas Health Science Center at San Antonio*

Texas has the second highest incidence of liver cancer in the nation, and the Hepatitis C virus (HCV) infection is the leading cause for the most common type of primary liver cancer - hepatocellular carcinoma (HCC). Baby boomers born between 1945 – 1965 make up 75% of the HCV cases in the U.S. The national U.S. Preventive Services Task Force endorses one-time screening of all baby boomers for HCV to detect and treat chronic HCV infection.

Dr. Turner is building the infrastructure to prevent HCC by redesigning primary care practices in Dallas and South Texas to screen, evaluate, and navigate baby boomers with chronic HCV to treatment. Fifteen clinics across Dallas and South Texas are screening patients. As a result, 20,000 baby boomers were screened for HCV over the past three years.

This project also includes educating health care personnel and all Texans about HCC and HCV. Dr. Turner's efforts have increased healthcare clinician and community knowledge about HCV and HCC prevalence, management, and treatment. Her goal is to develop best practices for implementing HCV screening, evaluation, and treatment in primary care throughout Texas. Ultimately, this program aims to reduce the threat of liver cancer and liver failure in Texas through universal screening and treatment of baby boomers for HCV.

*Dr. Rakhshanda Layeequr Rahman, Access to Breast and Cervical Care for West Texas (ABC24WT), Amarillo Breast Center of Excellence, Texas Tech University Health Science Center*

The Texas Panhandle is largely comprised of rural medically underserved communities facing ethnic (mainly Hispanic), socio-economic, and geographical barriers that limit access to health care. In 2010, more women were dying from breast cancer in the Texas Panhandle compared to the rest of the state. The 26-county region also has the highest mortality from cervical cancer in the state.

CPRIT awarded a prevention grant to Texas Tech University Health Sciences Center and Dr. Rahman to deliver breast and cervical cancer education, screening, diagnostics, and high-risk counseling services to underserved women in the 26-county region through a strong network of collaborating private and community partners. The number of screening mammograms by participating partners increased on an annual basis by 26% since 2009, reducing the percentage of breast cancers diagnosed at a late stage from 21.2% to 4.5%. Over 5,000 breast cancer screening services provided in the region were a direct result of CPRIT-funded outreach activities.

The annual number of Pap tests by participating partners increased by 21% since 2013, with the number of HPV vaccinations increasing by an incredible 94%. These efforts are significantly reducing the emotional and economic burden of cervical and other HPV-related cancers in the Texas Panhandle. Using volunteer peer trainers, more than 20,000 Texas Panhandle residents have been educated about the importance of screening since 2010.

*Dr. Lewis Foxhall, Alliance for Colorectal Cancer Testing (ACT), The University of Texas MD Anderson Cancer Center*

CPRIT awarded The University of Texas MD Anderson Cancer Center and Dr. Lewis Foxhall a \$2.59 million prevention grant in June 2015 to address low colorectal cancer screening rates among medically underserved populations in southeast Texas. The ACT program increases adherence to colorectal cancer screening recommendations in CPRIT's priority populations served through primary care clinics, thus reducing colorectal incidence and mortality disparities.

Based on an existing program implemented in a nine-county area by MD Anderson through the Texas Medicaid 1115 waiver, the ACT program has created collaboration agreements with primary clinics in 19 counties. Working with the American Cancer Society, Dr. Foxhall's CPRIT-funded project supports the implementation of clinical practice changes to increase screening rates. The project relies on the evidence-based approach using fecal immunochemical test (FIT) based screening followed by colonoscopy.

As of September 2017, the CPRIT grant has paid for processing nearly 2,600 FIT kits for underinsured and uninsured patients. Following up on the FIT kit screening results, CPRIT funding supported more than 113 colonoscopies; 42 of these colonoscopies included the removal of pre-cancerous polyps. Seven patients screened through the program were diagnosed with cancer and navigated to treatment. As a result of the CPRIT project, the screening rate for uninsured patients in participating clinics increased, ranging from an increase of 8% to 27%.

A full list of projects in the CPRIT prevention portfolio can be found at <http://www.cprit.texas.gov/funded-grants>

## CPRIT GRANT PROGRAMS: PRODUCT DEVELOPMENT RESEARCH

In fiscal year 2017, the CPRIT Product Development Program awarded three grants totaling \$41.1 million. Since 2010, CPRIT has made 32 product development research awards totaling \$329.6 million.

CPRIT's Product Development Research Program funds projects at Texas-based companies developing novel products or services intended to benefit cancer patients. Groundbreaking science is most valuable when it is translated into cancer drugs, diagnostics, and therapies that are available to Texans. Product development activities convert a one-time laboratory finding into a safe and reliable product available to treat cancer patients. CPRIT supports projects that accelerate the development of promising research discoveries through the crucial early stages of regulatory development.

The Product Development Research Program funds clinical research that confirms the safety and efficacy on the target patient population, as well as necessary steps to gain regulatory approval required prior to commercial use. Startup companies conduct these early stage product development, clinical research, and regulatory approval activities. Developing novel cancer drugs and diagnostics is expensive, with the latest studies showing the cost of a new therapeutic can be up to \$3 billion. CPRIT typically invests in early stage companies where private capital is hardest to obtain.

CPRIT provides only a portion of the funding required to complete development with the bulk of funding typically from private sources. However, CPRIT's investment is critically important because it funds development activities that are early in the process but necessary for any further progress. CPRIT's investment in early stage companies also increases the number of cancer therapies in development in Texas, thereby stimulating the Texas life sciences ecosystem.

CPRIT has awarded 32 product development research grants totaling \$329.6 million since 2010. These companies have raised nearly \$1.37 billion in additional investments after receiving CPRIT awards. This strongly indicates angel and venture capital confidence in the

peer-review and due diligence processes for CPRIT’s product development research awards. During fiscal year 2017, 14 companies had CPRIT projects in clinical trials. Twenty-one companies with CPRIT-funded projects have connections with Texas institutions, further strengthening the life science infrastructure and ecosystem across the state.

The number of scientifically and commercially attractive product development opportunities exceeds CPRIT’s ability to fund them. CPRIT directs its limited resources toward maximizing clinical benefits and identifying the most promising projects.

**To invest strategically, the following principles guide the Product Development Research Program:**

- Supporting the commercial development of novel products to address unmet cancer diagnosis and treatment needs;
- Stimulating the Texas life sciences ecosystem by funding in spaces where private capital is most difficult to obtain, known as the “Valley of Death” between research and private funding;
- Investing in projects based on sound scientific research with strong management and sound business plans that will be attractive to private investment; and
- Providing an appropriate return on Texas taxpayer investment.

**Product Development Priorities**

The fiscal year 2017 program priorities adopted by the Oversight Committee for the Product Development Research Program address:

- Supporting development of novel projects that offer therapeutic or diagnostics not currently available, i.e., disruptive technologies;
- Funding projects addressing large or challenging unmet medical needs;
- Investing in early stage projects when private capital is least available;
- Stimulating commercialization of technologies developed at Texas institutions;
- Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life sciences expertise, especially experienced C-level staff to new life science companies in Texas; and

- Providing appropriate return on Texas taxpayer investment.

Table 6 shows how the fiscal year 2017 Product Development Research Program awards fulfilled the Oversight Committee’s priorities.

TABLE SIX: FY 2017 FUNDING BY CPRIT PRODUCT DEVELOPMENT RESEARCH PROGRAM PRIORITIES*		
Priorities Addressed	# Grants	Award Amount
Funding novel projects that offer therapeutic or diagnostics not currently available, i.e., disruptive technologies	3	\$41,144,783
Funding projects addressing large or challenging unmet medical needs	3	\$41,144,783
Investing in early stage projects when private capital is least available	1	\$8,998,067
Stimulating commercialization of technologies developed at Texas institutions	3	\$41,144,783
Supporting new company formation in Texas or attracting promising companies to Texas that will recruit staff with life sciences expertise, especially experienced C-level staff to new life science companies in Texas	1	\$8,998,067
Providing appropriate return on Texas taxpayer investment	3	\$41,144,783

*\*Some grants address more than one priority*

## Review Process and Grant Mechanisms

CPRIT uses a merit-based selection process, adjudicated by subject matter expert peer reviewers, to select the most promising product development research grant applicants. The multi-stage selection process includes in-person presentations by the applicants. Proposed projects that the review panel finds to be sufficiently compelling after the in-person presentations undergo due diligence review. This review involves an in-depth evaluation of the proposal's underlying intellectual property, clinical trial design, regulatory affairs, manufacturability of product, marketing, and other relevant factors. Historically, CPRIT awards grant funds to approximately ten percent of the companies that apply.

CPRIT provides awards only to Texas-based companies or out-of-state firms willing to relocate to Texas. The Product Development Research Program released two grant mechanisms in two grant review cycles for fiscal year 2017.

- *Texas Company Product Development Awards* support Texas based early-stage “start-up” and established companies in the development of innovative products, services, and infrastructure with significant potential impact on patient care. The proposed project must further the development of new products for the diagnosis, treatment, or prevention of cancer; must establish infrastructure that is critical to the development of a robust industry; or must fill a treatment or research gap; and
- *Company Relocation Product Development Awards* provides companies that are willing to relocate to Texas support in developing new products for the diagnosis, treatment, or prevention of cancer; establishing infrastructure that is critical to the development of a robust industry; or filling a treatment or research gap.

The Product Development Review Council (PDRC), comprised of experts in the field of cancer research and cancer product development, monitors the status of product development research grant projects. The PDRC reviews updates and reports to ensure companies are making appropriate progress toward contractual objectives. CPRIT disburses

grant funding to the company in tranches based upon progress made. The grant award may be discontinued if the company is not meeting its objectives. Award contracts also include a royalty obligation payable post commercialization. CPRIT's revenue sharing terms provide appropriate return to Texas taxpayers and are structured so that the company can attract subsequent investors.

### Product Development Research Award Portfolio

As of the end of fiscal year 2017, CPRIT has granted 32 awards to 29 individual companies across multiple sectors of the cancer market including development services, diagnostics, devices, and therapeutics. Two-thirds of CPRIT Product Development Research program grants (90% of invested capital) support projects at companies developing novel drug, cell, and biologic therapies for cancer patients. All 20 companies' therapeutics are in preclinical or clinical development. The remaining Product Development Research program portfolio investments (10% invested capital) are in other sectors, including development services, diagnostics, and devices. Four of these companies have commercialized their service or product.

Table 7 is CPRIT's current portfolio of Product Development Research program projects as of August 31, 2017.

TABLE SEVEN: FISCAL YEAR 2017 CPRIT PRODUCT DEVELOPMENT RESEARCH PORTFOLIO

Company	Sector	Cancer Indications	Project Focus	Total Award Amount
AERase, Inc.	Molecular Therapy	Multiple Cancers	Enzyme for amino acid depletion	\$19,806,145
Apollo Endosurgery, Inc.	Devices	Multiple Cancers	Minimally invasive resection device	\$5,001,063
Aravive Biologics, Inc. (formerly Ruga Corp.)	Biologic Therapy	Multiple Cancers	Targeted Immunotherapy	\$20,000,000

Asuragen, Inc.	Diagnostics	Multiple Cancers	Genetic/Oncology diagnostics	\$6,837,265
Bellicum Pharmaceuticals, Inc. (Two awards)	Cell Therapeutics	Leukemia	De-activated T-cells for Leukemia	\$22,627,026
Beta Cat Pharmaceuticals, LLC	Molecular Therapy	Colon	Betacatine pathway inhibitor	\$15,908,085
Caliber Biotherapeutics, LLC	Biologic Therapy	Blood Cancers	Plant - Based Vaccine	\$12,808,151
Cell Medica, Inc.	Cell Therapeutics	Lymphoma	Activated T-cells	\$15,571,303
CerRx, Inc.	Molecular Therapy	Lymphoma	Small molecule affects tumor cell wall	\$6,000,000
Curtana Pharmaceuticals, Inc.	Molecular Therapy	Glioblastoma	Targeted small molecule therapy	\$7,580,185
DNAtrix, Inc.	Biologic Therapy	Glioblastoma	Adenovirus for glioblastoma	\$10,813,623
ESSA Pharma Inc.	Molecular Therapy	Prostate	Androgen receptor blocker	\$12,000,000
Fujifilm Diosynth Biotechnologies Texas, LLC (formerly Kalon)	Tools & Services	Multiple Cancers	Contract biologics manufacturing facility	\$7,901,420
Formation Biologics Corp. (formerly Armada Pharma.)	Biologic Therapy	Multiple Cancers	Antibody drug conjugate	\$12,750,000
Immatics US Inc.	Biologic Therapy	Multiple Cancers	Targeted Immunotherapy	\$19,652,175
InGeneron, Inc.	Diagnostics	Multiple Cancers	System to isolate circulating cancer cells	\$198,111
Medicenna Therapeutics, Inc.	Molecular Therapy	Glioblastoma	Cytokines for IL4 receptor	\$14,140,090
Mirna Therapeutics, Inc. (Two awards)	Biologic Therapy	Multiple Cancers	Tumor suppressor, Micro RNA	\$27,062,530

Molecular Templates, Inc. (Two awards)	Biologic Therapy	Blood Cancers	Antibody drug conjugate	\$25,800,000
NanoTX Therapeutics, Inc.	Devices	Glioblastoma	Nanoparticle radiation therapy	\$2,000,000
Nexeon MedSystems, Inc. (formerly Rosellini)	Devices	Multiple Cancers	Neuro-stimulation device	\$967,000
OncoNano Medicine, Inc.	Devices	Multiple Cancers	Surgical device for margin detection	\$6,000,000
Pelican Therapeutics, Inc.	Biologic Therapy	Multiple Cancers	Targeted Immunotherapy	\$15,245,222
Peloton Therapeutics, Inc.	Molecular Therapy	Renal	Transcription factor agonist	\$3,201,002
Pulmotect, Inc.	Molecular Therapy	Multiple Cancers	Molecular anti-infective therapy	\$7,126,398
Rules-Based Medicine, Inc.	Tools & Services	Multiple Cancers	Biomarker test development	\$3,024,432
Salarius Pharmaceuticals, LLC	Molecular Therapy	Ewing's Sarcoma	LSD 1 Inhibitor	\$18,668,717
ViraCyte LLC	Cell Therapeutics	Multiple Cancers	Activated T-cells	\$8,998,067
Visualase, Inc.	Devices	Prostate	MRI guided laser tumor ablation	\$2,151,776
TOTAL				\$329,839,786

## **Representative Product Development Research Program Grants**

### *Bellicum Pharmaceuticals, LLC*

Bellicum is developing BPX-501, a novel immunotherapy to treat acute myeloid leukemia (AML), a deadly bone marrow cancer. BPX-501 is a disruptive innovation that solves critical issues that arise in the treatment of AML patients.

AML patients are typically treated by stem cell transplantation. Donor stem cells are matched to the patient to minimize the risk of fatal graft versus host disease (GvHD). Physicians seek a delicate balance between eliminating mismatched donor T-cells that could result in fatal graft versus host disease (GvHD), while preserving enough donor T-cells to defend against fatal opportunistic infections and cancer recurrence via the “graft versus leukemia” effect.

BPX-501 is composed of T-cells from haploidentical donors that are genetically equipped with a molecular “safety switch”. This unique function allows physicians to reduce or eliminate the T-cells’ activity by administering a specific drug. Hence, BPX-501 delivers fully functional T-cells back to patients, thereby maximizing protection from infection and cancer relapse, but also providing substantial protection from severe GvHD by temporarily turning off T-cell activity.

Bellicum demonstrated the preliminary efficacy of this novel technology to rapidly resolve severe GvHD in a Phase 1 clinical study. A larger Phase 2 study is underway in children and adults with AML.

### *Molecular Templates, Inc.*

Molecular Templates is developing an Engineered Toxin Body Technology (ETB), a novel system of targeted biological cancer therapies. These are biological “guided missiles” that self-navigate extracellularly to cancer cells. ETBs carry various drugs, proteins or nucleic

acids which disrupt function and reproduction of cancer cells. In vitro and clinical data demonstrate ETBs are not inhibited by generalized mechanisms of chemo-resistance.

Molecular Templates' initial compound MT-3724 targets the CD20 antigen found on lymphoma and leukemia cancer cells. Once inside these cells, MT-3724 self-routes to the cytosol where it enzymatically destroys ribosomal function irreversibly, directly killing the cell. This is a unique mechanism of action in oncology.

Clinical data have shown activity in patients whose disease have progressed or were not responsive to chemotherapy and standard drug therapies. The company has three clinical studies underway.

A full list of projects in the CPRIT product development research portfolio can be found at <http://www.cprit.texas.gov/funded-grants/>

## CPRIT PEER REVIEW

Rigorous, independent, merit-based peer review is the foundation of all CPRIT's grant programs and the primary means for ensuring that the funds committed by the people of Texas are prudently invested with the greatest potential impact on cancer. From CPRIT's inception, the peer review process has included multiple safeguards to address potential conflicts of interest and ensure both fairness and accountability. CPRIT enhanced its processes in fiscal year 2014 pursuant to the recommendations of the State Auditor and the provisions of Senate Bill 149 of the 83<sup>rd</sup> Texas Legislature, Regular Session.

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 in establishing a scientific peer review process to vet and score all grant proposals. Scientific peer review provides an objective evaluation of the proposed hypothesis, the methodology to prove the hypothesis, and the prospective findings. Since 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.

In addition to the peer review, CPRIT requires an additional due diligence review of any research proposals received from companies. The due diligence review, performed by outside legal and regulatory experts, assesses the regulatory and commercial path of the proposed development project and underlying scientific discovery. This review is unique to CPRIT among cancer grant-making organizations and is consistent with CPRIT's objective to invest in research and development for discoveries with the highest probability of reaching and benefiting Texans as soon as possible.

CPRIT's three review councils – the Scientific Review Council, the Prevention Review Council, and the Product Development Review Council - oversee the peer review of all applications submitted to CPRIT. Members of the review councils chair the individual peer review panels 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.

*Scientific Review Council members:*

<http://www.cprit.texas.gov/grants-process/peer-review-committees/scientific-review-council-src/>

*Prevention Review Council members:*

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

*Product Development Review Council members:*

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

Pursuant to V.T.C.A, Health and Safety Code § 102.251, 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 quarterly public meeting.

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

### **CPRIT Peer Review Processes for CPRIT's Programs**

The following tables show the peer review process in effect for the Prevention, Academic Research, and Product Development Research program grants as of the end of fiscal year 2017.



## CPRIT ACADEMIC RESEARCH PEER REVIEW PROCESS

<p><b>STEP 1</b> 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><b>STEP 2</b> Applying Online</p>	<p>Applicants submit proposals using CPRIT’s online application receipt system (<a href="http://www.cpritgrants.org">www.cpritgrants.org</a>). 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><b>STEP 3</b> 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><b>STEP 4</b> 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. 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><b>STEP 5</b> Reviewer Assignment</p>	<p>Peer reviewers are assigned to panels in their area of expertise. Panel chairs assign applications to primary reviewers (usually 3 per application). At least one advocate reviewer is assigned to each panel. All reviewers live and work outside of the state. A list of members by panel can be found on CPRIT’s website. A reviewer with a conflict does not participate in the discussion, presentation, or scoring of the application at any point in the process. Due to volume, research applications may undergo a preliminary evaluation using the process and criteria specified in the RFA.</p>
<p><b>STEP 6</b> 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><b>STEP 7</b> 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><b>STEP 8</b> 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><b>STEP 9</b> 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 Oversight Committee (OC). Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p>
<p><b>STEP 10</b> 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><b>STEP 11</b> 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 Oversight Committee members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p>
<p><b>STEP 12</b> 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 PREVENTION PEER REVIEW PROCESS

<p><b>STEP 1</b> 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><b>STEP 2</b> Applying Online</p>	<p>Applicants submit proposals using CPRIT’s online application receipt system (<a href="http://www.cpritgrants.org">www.cpritgrants.org</a>). 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><b>STEP 3</b> 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><b>STEP 4</b> 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. 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><b>STEP 5</b> 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><b>STEP 6</b> 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><b>STEP 7</b> 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><b>STEP 8</b> 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><b>STEP 9</b> 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 Oversight Committee (OC). Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p>
<p><b>STEP 10</b> 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><b>STEP 11</b> 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 Oversight Committee members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p>
<p><b>STEP 12</b> 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 PRODUCT DEVELOPMENT RESEARCH REVIEW PROCESS

<p><b>STEP 1</b> 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><b>STEP 2</b> Applying Online</p>	<p>Applicants submit proposals using CPRIT’s online application receipt system (<a href="http://www.cpritgrants.org">www.cpritgrants.org</a>). 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><b>STEP 3</b> 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><b>STEP 4</b> 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. 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><b>STEP 5</b> 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><b>STEP 6</b> 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><b>STEP 7</b> 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><b>STEP 8</b> 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><b>STEP 9</b> 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><b>STEP 10</b> 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. The Council specifies and explains changes, if any, to the applications’ goals, objectives, budget or timeline and these are provided to both the CEO (as Chair of the Program Integration Committee ) and the Oversight Committee (OC). Once the review process is complete, all reviewers sign a statement that they have followed the CPRIT COI agreement terms.</p>
<p><b>STEP 11</b> 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><b>STEP 12</b> 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 Oversight Committee members present and voting must approve each grant award recommendation submitted by the PIC. The CPRIT Compliance Officer also certifies each recommended award.</p>
<p><b>STEP 13</b> 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>

## CPRIT COMPLIANCE PROGRAM

Established by the Oversight Committee, the CPRIT compliance program is statutorily mandated to assess and ensure that CPRIT's committee members and employees comply with applicable laws, rules, and policies. The compliance program is also required to provide fiscal and administrative oversight of all CPRIT grants 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. At least annually, all CPRIT employees and Oversight Committee members verify observance of CPRIT's Code of Conduct, complete annual ethics training, sign a non-disclosure agreement, and attest that they have no outside employment that conflicts with their CPRIT employment or appointment.

### **Grant Award Compliance**

The compliance program is responsible for overseeing that all grants, from the time of application submission through project completion, follow agency processes and procedures. CPRIT documents each step in the application review process in a grant compliance pedigree. CPRIT creates a unique pedigree for each grant application. The compliance pedigree assures to the Program Integration Committee and the Oversight Committee that each grant award has met statutory requirements, administrative rules, and CPRIT procedures. The pedigree covers all actions taken between when CPRIT releases the Request for Applications through the peer review process, concluding with the Oversight Committee's final decision on the application.

## **Post Award Grant Monitoring**

CPRIT's compliance team, led by the Chief Compliance Officer, consists of a compliance program manager and six grant compliance specialists. CPRIT's compliance team continuously monitors active grants to ensure that each grant recipient complies with the terms and conditions of its grant contract and all applicable laws and reporting rules. CPRIT tracks due dates of required grantee reports through an electronic grant reporting and monitoring system. In fiscal year 2017, the grant compliance specialists conducted reviews of grant reimbursements, providing second-level verification that the initial reviews were thorough, consistent, and compliant with CPRIT's statutes, rules and procedures. In addition to the grant reimbursement reviews, grant specialists assisted with grantee training and technical assistance, supported the development of a grantee onboarding and annual training process, and participated in the preventative desk reviews and the on-site review process for current grant recipients.

## **Risk Assessment Model**

CPRIT's compliance plan calls for the completion of a comprehensive risk analysis of awarded grants with the goal of determining monitoring coverage, type, priority, recommended staffing, and monitoring schedules for adequate oversight of grant recipients and associated grants. CPRIT first implemented the Risk Assessment Model in fiscal year 2016 and has updated it to reflect monitoring findings from the current fiscal year and recommended changes from CPRIT's internal auditor.

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

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

CPRIT performs risk assessments on a quarterly and annual basis. Quarterly assessments evaluate new grant recipients that receive funding during the year. Annual assessments

provide for ongoing reviews of grant recipients with multi-year awards and those who receive grants over multiple years. Each risk assessment assigns a priority ranking to grant recipients, which helps in determining training and monitoring needs.

Based on the results of the risk assessment, grantees receive a desk review or an onsite monitoring review completed by grant compliance staff. Compliance monitoring reviews evaluate a grantee's compliance with grant requirements included in Texas Administrative Code Chapters 701-703, the Texas Health and Safety Code Chapter 102, CPRIT Policies and Procedures, Uniform Grant Management Standards, and terms of the grant contract.

### **Fraud, Waste, and Abuse Hotline**

CPRIT implemented a compliance and ethics hotline in July 2015. The hotline is part of CPRIT's ongoing efforts to ensure that it has strong internal controls to protect the integrity of CPRIT's grant process and use of Texas taxpayer dollars. The system is designed to allow individuals to report any concerns regarding fraudulent activity/theft, misconduct, safety violations, or unethical behavior regarding CPRIT projects or activities to the Compliance Program. The service is operated by an independent contractor and allows users to remain anonymous if they so choose. The availability of the hotline is communicated to Oversight Committee members, CPRIT staff, and grant applicants and recipients via training, CPRIT's Grant Management System, and CPRIT's website and mailing list subscribers.

### **Conflict of Interest Information for Fiscal Year 2017**

Texas law prohibits any individual involved in making grant award decisions during CPRIT's review process, including peer review panel members, Program Integration Committee members, and the Oversight Committee, from reviewing or voting on an application if the individual has a prohibited conflict of interest. See V.T.C.A., Health and Safety Code § 102.106. A conflict of interest exists if a reviewer or a close relative of the reviewer has a real or apparent interest in the outcome of an application such that the person may gain financially, professionally, or personally from the approval or disapproval of a

grant application. Generally, the reviewer's conflict of interest with an application will require the reviewer's recusal only from the discussion and vote on that application. However, there are certain types of conflicts of interest that require the reviewer to recuse himself or herself from the discussion and vote on all applications for the same grant mechanism in the same grant cycle.

CPRIT maintains documents that list all conflicts of interest disclosed by reviewers, as well as the steps taken to show that the reviewer recused himself or herself from the discussion and vote on the application at issue. This documentation includes a list of reviewers identifying conflicts and sign out sheets reflecting that the reviewer left the room (or the call if the review discussion was conducted via conference call.) CPRIT's third-party grant management contractor maintains the sign out sheet, which is separately reviewed by CPRIT's third party, independent reviewer. The third party, independent review certifies that no reviewer with a conflict of interest in an application participated in the review or vote of that application. The list of reviewers noting conflicts of interest requiring recusal for fiscal year 2017 and the supporting documentation are included for each program in Appendix Section 1 of this report.

CPRIT relies primarily upon the individual reviewer to identify any conflicts of interest with all applications subject to his or her review. CPRIT also posts the review panel membership on its public website so that applicants may separately notify CPRIT of any potential conflict of interest risks. In addition, CPRIT has an established process for reporting, investigating, and taking any necessary action for undisclosed conflicts of interest. In fiscal year 2017, there were no allegations of an unreported conflict of interest that were confirmed by an investigation conducted by CPRIT.

In exceptional circumstances, the participation of a reviewer in the review process outweighs the potential bias posed by a conflict of interest held by the reviewer. V.T.C.A. Health and Safety Code § 102.1062 establishes a process for the Oversight Committee to approve a conflict of interest waiver to allow the otherwise conflicted reviewer to participate



in the review process. The conflict of interest waivers approved by the Oversight Committee for fiscal year 2017 are included in Appendix Section 2 of this report.



FINANCIALS

FINANCIAL SUMMARY (UNAUDITED) - FOR THE YEAR ENDED AUGUST 31, 2017	
<b>Revenues</b>	
Legislative Appropriations	\$297,085,446
License, Fees, and Permits	87,850
Interest Income	113
Sales of Goods and Services	23
Other	33,795
<b>Total Revenues</b>	<b>\$297,207,227,345</b>
<b>Expenses</b>	
Salaries and Wages	\$3,679,318
Other Personnel Cost	751,703
Professional Fees and Services	10,566,261
Consumable Supplies	156,121
Utilities	72,792
Travel	67,477
Repairs and Maintenance	46,457
Rent - Machine and Other	59,563
Printing and Reproduction	1,150
Other Operating Expenses	152,343
Grant Payments	244,630,253
Capital Expenditures	-
<b>Total Expenses</b>	<b>\$260,130,299</b>
<b>Excess of Revenues Over Expenses</b>	<b>\$37,076,928</b>

## 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, 2017, ascertaining that the statements "present fairly, in all material respects, the respective financial position of the governmental activities and governmental fund information of CPRIT as of August 31, 2017, 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 no instance of noncompliance or other matter required to be reported under *Government Auditing Standards*.

## PLANNING

Creating and expediting innovation in cancer research and enhancing the potential for medical or scientific breakthroughs in the prevention of cancer and cures for cancer requires comprehensive planning for current operations as well as longer-term goals. CPRIT engages in continuous strategic planning and priority setting activities. Each year, the Oversight Committee establishes priorities for CPRIT's three programs. As part of the operational strategic planning, CPRIT staff and the Oversight Committee also identified several issues to be resolved leading up to the Institute's scheduled sunset review in 2023.

### **Operational Strategic Planning**

CPRIT staff and the Oversight Committee developed an operational strategic plan in 2016 over the course of several meetings and a specially called work session of the Oversight Committee. The operational plan is separate from but complementary to the strategic plan CPRIT submits to the Governor's Office and the Legislative Budget Board every two years that focuses primarily on state funding elements. CPRIT's operational plan identifies performance measures to support and monitor program progress through 2023.

CPRIT developed, monitored, and evaluated additional performance measures in fiscal year 2017 to document success at meeting strategic objectives including developing cures and treatments and preventing cancer when programmatically appropriate. In addition to fiscal accountability reviews by the compliance program, non-Texas professionals with substantive experience in their appropriate fields objectively evaluate grantee progress reports. These annual reviews of every project verify that the grantees are carrying out the qualitative work specified in the grant contract and are performing as intended. CPRIT staff reports at each quarterly Oversight Committee meeting on 45 accountability, mission, and transparency management metrics.



**CPRIT’s three operational strategic goals and the key objectives associated with each goal are:**

- **To expedite innovation in cancer research and prevention**

Key objectives connected to expediting innovation include supporting innovative cancer research and prevention interventions, focusing on the unique needs of Texans, fostering statewide collaboration in prevention and research, growing the cancer life science ecosystem in Texas, and effectively planning for the next five years;

- **To engage stakeholders**

Fulfilling CPRIT’s strategic goal to engage stakeholders requires assuring that grant applicants and grantees are served effectively, that CPRIT employees are fully engaged, and that the advice, concerns and guidance of legislators, advocates, grantees and the public are solicited and incorporated as appropriate; and

- **To demonstrate ethics and accountability**

Demonstrating ethical behavior and accountability includes a commitment to ensuring grant processes adhere to all rules and regulations, service recipients and grantees are served effectively, and all state administrative and ethics guidelines are followed.

## **Looking Ahead**

Beginning in 2016, CPRIT used the operational planning process to categorize necessary steps leading up to CPRIT’s scheduled sunset review in 2023. Defining these steps now allows the agency to consider modifications the Oversight Committee should make to the research and prevention portfolios over the next six years to prepare for possible reduction or cessation of state funding. Four major issues are described below. CPRIT will work with stakeholders to refine the issues and devise action plans leading up to sunset review.

- **Monitoring On-going Projects**

CPRIT grant projects typically last two to five years. CPRIT's statute authorizes the Oversight Committee to award grants through August 31, 2022. Unless CPRIT severely truncates award periods, which will affect the grantee's ability to complete project work, many CPRIT grant projects will continue to be active beyond CPRIT's sunset date. These grant projects will require continued specialized monitoring to protect the state's interests and assure that grantees are meeting contractual requirements. Grant management and compliance will require some combination of state employees and/or contracted personnel.

- **Drawing Down Bond Proceeds**

In addition to monitoring active grants, a future entity must be responsible for issuing bonds after August 31, 2023, to support ongoing grant cost reimbursement. CPRIT reimburses approved grant project costs incurred by the grantee for the previous fiscal quarter. Because the state issues CPRIT bonds on an as-needed basis, this lengthy fiscal review and draw down process affects when the state issues debt to cover approved disbursements. Although CPRIT plans to fully commit the \$3 billion in bond proceeds prior to the agency's sunset, some portion of the bonds will remain for the state to issue for grant disbursements. The statute limits the amount of CPRIT bonds that the state may issue each year to no more than \$300 million. It is unlikely that CPRIT will draw down all grant authority by 2023, even if the state started issuing the full \$300 million annually (rather than on an as needed basis) and advancing funds to grantees in place of reimbursements. It is prudent for the state to plan for staff and resources necessary to monitor the drawdown of grant funds post 2023 and coordinate with the Texas Public Finance Authority and the Bond Review Board.

- **Ensuring the State Receives Contractually Required Revenue Sharing Payments**

Revenue sharing obligations owed by grantees will require ongoing monitoring of all CPRIT grants regardless of whether the grant projects are active or closed. Every



CPRIT grant contract includes terms ensuring that the state benefits monetarily if a grant project generates revenue. Given the long drug development life cycle, CPRIT expects that the state will realize the largest portion of the grantee's revenue sharing obligations after August 31, 2023. Over the next several years, grantees will license more intellectual property and more CPRIT-funded products will reach the market as the projects move further through the regulatory and development process.

Legislation passed in the 85<sup>th</sup> Legislative Session authorizes CPRIT to transfer the management of equity and royalty assets generated by CPRIT's revenue sharing agreement to the Texas Treasury Safekeeping Trust Company. An ongoing monitoring system to track CPRIT's grant investments is necessary to ensure that grantees are fulfilling their contractual obligations and to protect potential state assets. The tracking system should monitor CPRIT-funded projects at both academic institutions and public/private companies. CPRIT will work with the Trust Company to establish an effective monitoring system.

- **Protecting and Preserving Momentum in Texas after 2023**

Planning for the potential winding down of operations by August 31, 2023, raises the question of what the Texas cancer landscape will look like without CPRIT or a similar entity with sufficient resources to support the momentum Texas has gained in the fight against cancer. Some suggest that CPRIT fills this role as a financially self-sufficient entity. Options for funding sources include fundraising and relying upon the state's share of license/royalty proceeds from CPRIT funded projects.

An obvious option for external support of CPRIT's cancer research and prevention activities is raising funds through an appeal for donations. Doing so will position CPRIT like established non-profit organizations such as the American Cancer Society, the Leukemia & Lymphoma Society, the LiveStrong Foundation, and Susan G. Komen. These organizations have significant staff and resources dedicated to fundraising, which CPRIT must replicate in order to begin attracting potential donations.

CPRIT's statute permits the agency to accept donations; however, to date the agency has expended no staff time or resources conducting donor outreach. Repositioning staff and resources now to begin fundraising efforts will mean that fewer resources are available currently to support cancer research and prevention activities. Given the short amount of time necessary to ramp up fundraising activities, it is extremely unlikely that CPRIT's efforts alone will be sufficient to sustain the momentum for the cancer research that has pushed Texas to the frontier of scientific knowledge and maintain prevention activities that have educated Texans about reducing cancer risks and detected more than 12,000 cancers or cancer precursors.

In addition to the limitations related to time and resources, another challenge to consider when evaluating the fundraising option is CPRIT's purpose to attract, create, expedite, and expand cancer research innovation in Texas. To date, CPRIT supports cancer research, product development, and prevention activities only if the projects take place in Texas. As a result, CPRIT is responsible for attracting more than 135 preeminent cancer researchers and 11 companies to the state, as well as doubling the level of federal funding for cancer research for Texas' academic institutions. This has dramatically increased Texas' profile and catalyzed the state's life sciences industry. However, potential donors outside of Texas are likely to be neutral about where CPRIT's cancer research and prevention activities are taking place, and may be opposed to limiting the grant support to one state.

While CPRIT's Texas-centered effort has been transformational for the state, maintaining the intensive focus may further limit CPRIT's fundraising options to seeking support largely from Texans and Texas-based organizations. CPRIT has some experience with this fundraising model. CPRIT originally relied upon Texas-based fundraising to support some operational costs of the agency. Three members of CPRIT's first Oversight Committee established the CPRIT Foundation in March 2009 to operate as a non-profit corporation created exclusively for the benefit of CPRIT.

Starting in April 2009, the CPRIT Foundation raised funds to supplement the salary of CPRIT's Chief Scientific Officer and Executive Director as well as providing

administrative support, public affairs, strategic communications, and marketing services. The CPRIT Foundation received donations totaling approximately \$3.7 million through August 2012. Non-profit foundations contributed approximately \$2.1 million of the total raised by the CPRIT Foundation. Several of the non-profit foundations were associated with higher education institutions that have received grants from CPRIT.

CPRIT's relationship with the CPRIT Foundation was one subject addressed in the State Auditor's Office *Audit Report on Grant Management at the Cancer Prevention and Research Institute of Texas and Selected Grantees*, issued in January 2013. The State Auditor determined that awarding grants to donors to the CPRIT Foundation created an apparent conflict of interest and impaired the agency's ability to assure the public that the donations do not influence CPRIT's award decisions. The State Auditor concluded, "When organizations associated with grant applicants or grantees contribute to the CPRIT Foundation, this creates the risk that the contributions may influence the executive director and chief scientific officer in the grant recommendation process."

In response to the State Auditor's report, the Legislature changed the statute to ensure the integrity of CPRIT's conflict-free review process. Texas law now prohibits an entity from receiving a CPRIT grant if the entity or any person associated with the entity has donated money to CPRIT. Supporting CPRIT's post-2023 operations by relying upon Texas-based fundraising may require the Legislature to reverse course and allow donations from individuals and organizations that compete for grants. This has the potential to jeopardize the integrity of CPRIT's grant review process.

Another frequently suggested option to fund post-2023 CPRIT activities uses the patent royalties and license revenues generated by CPRIT-funded projects. Every CPRIT grant contract includes conditions ensuring that the state benefits monetarily if a grant project generates revenue. The revenue sharing terms provide a fair and reasonable yield on the state's investment while accounting for CPRIT's statutory mission to accelerate development of cancer treatments and cures and stimulate company formation and job growth in Texas. The statute directs CPRIT to balance the

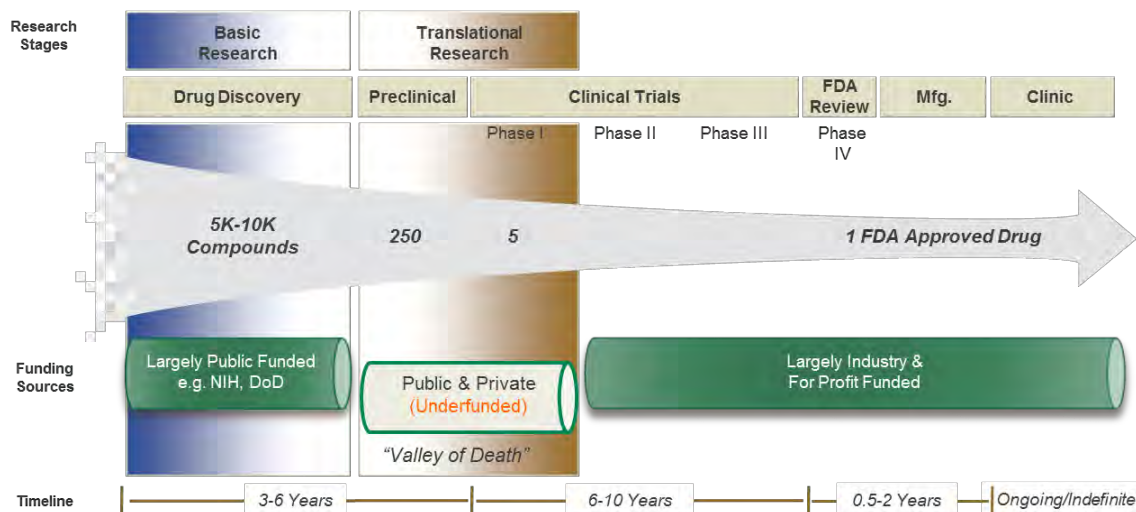
state's opportunity to benefit through revenue sharing while avoiding onerous terms that restrict or stop further development of the CPRIT-funded project.

CPRIT grant contracts with academic institutions and non-profit community organizations require grantees to pay 10% of the revenue received by the institution or organization to CPRIT. Revenue sharing terms for Product Development Research Program grants are more structured. Although CPRIT individually negotiated revenue sharing terms for the company contracts executed prior to 2013, CPRIT has used standard revenue sharing terms for all but one of the company contracts executed since that time.

Whether individually negotiated or subject to standard terms, most of the revenue sharing agreements included in the company contracts are royalty-based and require payments until some multiple (typically 2X – 4X) of the grant award is reached. Some of the agreements include a smaller ongoing royalty obligation after product revenue passes the initial total royalty threshold. Revenue sharing begins once the entity sells a product that CPRIT funding helped to develop. There are no requirements for milestone or other pre-revenue payments that may weaken an entity's cash position prior to getting a product in the marketplace. CPRIT's revenue sharing has also taken the form of equity ownership, although this is less common.

CPRIT notes that the Legislature established an interest and sinking fund in 2013 consisting of the patent, royalty, license fees, and other contractual income. The legislative purpose of the interest and sinking fund is to pay for the debt service on CPRIT's bonds. To the extent that the Legislature wishes to redirect the state's portion of revenues in support of CPRIT's future operations and activities, there may be no mechanism to appropriate these proceeds to CPRIT if the Institute is no longer a state agency. CPRIT is unaware of precedent for the state to dedicate state revenues to support a private entity. Even if CPRIT remains as a quasi-state entity, the state's portion of the grantee profits may not be sufficiently consistent for many years to serve as a sustainable, predictable funding source.

Long development cycles and high attrition rates characterize drug development, with large returns for the few projects that successfully navigate the regulatory process. CPRIT’s grant investments have overwhelmingly been in research that will lead to cancer therapeutics. The drug development process is a continuum that begins with a scientist’s discovery in the laboratory through preclinical and animal testing, clinical testing, and regulatory approval. As depicted below, the process may take up to 15 years and more than \$3 billion in total investment.



CPRIT grantees have paid the state \$3.17 million in revenue sharing as of August 31, 2017. It is important to remember the 15-year drug development continuum when assessing CPRIT’s return on investment to date. For CPRIT to share revenue the successful project must have traversed the entire pathway and started generating revenue. It is far too soon for most of CPRIT’s projects to be at a point where they are selling a product.

If CPRIT supports its future operations and grant activities solely with grantees’ revenue sharing payments then the agency must reorient its grant portfolio significantly. Consistent with its statutory purpose, CPRIT makes grants currently to expand research capabilities and support innovations at Texas’ higher education institutions and other public and private entities throughout the state. CPRIT also dedicates up to 10% of its grants toward prevention activities throughout the state, such as evidence-based screenings and



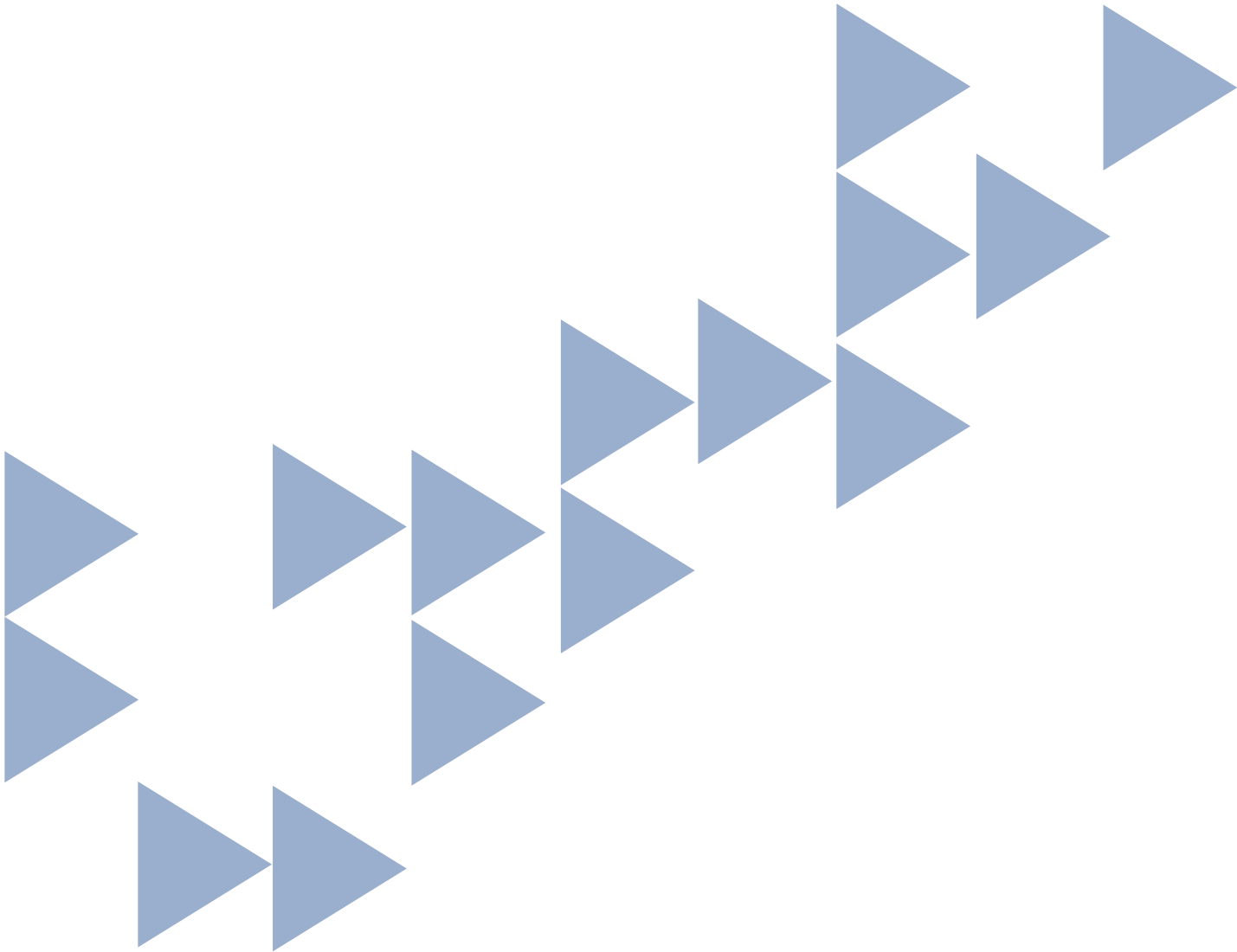
educational programs. These grants have been transformative, but they have not resulted in significant direct revenue payments to the state at this point.

Reorienting the agency's statutory purpose and portfolio to maximize revenue generation would mean that CPRIT would need to invest all of its remaining funds in very late stage product development research projects that are close to market approval. These would likely be awards to large out-of-state pharmaceutical companies, with revenue sharing consisting of stock purchases. While this reorientation is likely to result in revenue generation in the near term, the CPRIT investments would only be additive to the companies, rather than transformative.



## APPENDIX: CONFLICT OF INTEREST DOCUMENTATION

### ACADEMIC RESEARCH



**Conflicts of Interest Disclosure**  
**Academic Research Recruitment Cycle 17.1-17.2 Applications**  
**(Academic Research Recruitment Cycle 17.1-17.2 Awards Announced at November 16,**  
**2016, 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 17.1-17.2 include *Recruitment of First-Time, Tenure-Track Faculty Members* and *Recruitment of Established Investigators*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR170003	Fitz, John	The University of Texas Southwestern Medical Center	O’Reilly, Richard
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Recruitment Programs**

**Panel: Recruitment FY17 Cycle 1 and 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*
9/15/16	RR170003	Fitz, John	The University of Texas Southwestern Medical Center	O'Reilly, Richard	VERIFIED TELEPHONICALLY BY SRA	BRENDAN MORALES BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	9/16/16

**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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**2017 Cancer Prevention and Research Institute of Texas Recruitment Programs**

**Panel: Recruitment FY17 Cycle 1 and 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):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	9/16/16

**Comments:**

No ADDITIONAL COI'S
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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 Disclosure**  
**Academic Research Cycle 17.1 Applications**  
**(Academic Research Cycle 17.1 Awards Announced at November 16, 2016, 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 17.1 include *Individual Investigator Research Awards*, *Individual Investigator Research Awards for Computational Biology*, *Individual Investigator Research Awards for Cancer in Children and Adolescents*, *Individual Investigator Research Awards for Prevention and Early Detection*, *Early Translational Research Awards*, and *Research Training 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/PI	Institution	Conflict Noted
<b>Applications considered by the PIC and Oversight Committee</b>			
RP170180/ RP170180pe	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin
RP170066	Fueyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170079/ RP170079pe	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin
RP170114/ RP170144pe	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearon, Eric
RP170317/ RP170317pe	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer
RP170470	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan; Kast, W. Martin
RP170510pe	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan

\* = Not discussed

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP170496pe	Gregory, Carl	Texas A&M University System Health Science Center	Lawlor, Elizabeth
RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Sette, Alessandro; Kast, W. Martin
RP170071/ RP170071pe	Lupo, Philip	Baylor College of Medicine	Olshan, Andrew
RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Paskett, Electra
RP170493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence; Brandon, Thomas
RP170095	Smits, Jasper	The University of Texas at Austin	Angelou, Angelos
RP170427	Schiavinato Eberlin, Livia	The University of Texas at Austin	Angelou, Angelos
<b>Applications not considered by the PIC or Oversight Committee</b>			
RP170139*/ RP170139pe	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven
RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin; McMahon, Martin
RP170263	Zhang, Ruiwen	Texas Tech University Health Sciences Center	Chen, Xinbin
RP170106/ RP170106pe	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170348/ RP170348pe	Diab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor
RP170389*/ RP170389pe	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170416*/ RP170416pe	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni, Dubinett, Steven
RP170032*	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri

\* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170214*	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri
RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria
RP170064*/ RP170064pe	Chow, Wong-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert; Brandon, Thomas
RP170082/ RP170082pe	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria
RP170276/ RP170276pe	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence
RP170354*	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria; Barlow, William
RP170354pe	Xu, Hua	The University of Texas Health Science Center at Houston	Barlow, William
RP170448*/ RP170448pe	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas
RP170100/ RP170100pe	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt
RP170253*/ RP170253pe	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan
RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, G. Allan; Basilion, James
RP170527pe	Ghaghada, Ketan	Baylor College of Medicine	Basilion, James
RP170548*	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna; Basilion, James; Pomper, Martin
RP170405pe	Srivastava, Sanjay	Texas Tech University Health Sciences Center	Swanson; Kristin
RP170462pe	Zhang, Dekai	Texas A&M University System Health Science Center	Williams, Bart
RP170039pe	Vyas, Dinesh	Texas Tech University Health Sciences Center	Pure, Ellen
RP170412pe	Fuqua, Suzanne	Baylor College of Medicine	Pure, Ellen

\* = Not discussed

Application ID	Applicant/PI	Institution	Conflict Noted
RP170472pe	Dang, Weiwei	Baylor College of Medicine	Berger, Shelley
RP170479pe	Slinker, Jason	The University of Texas at Dallas	Tomkinson, Alan
RP170068pe	Zhao, Hua	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170186pe	Laetsch, Theodore	The University of Texas Southwestern Medical Center	Dubinett, Steven
RP170190pe	Marchetti, Dario	The Methodist Hospital Research Institute	Prados, Michael; Shah, Neil
RP170213pe	Bartholomeusz, Geoffrey	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna
RP170278pe	Krasnykh, Victor	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170325pe	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert
RP170385pe	Priebe, Waldemar	The University of Texas M. D. Anderson Cancer Center	Prados, Michael
RP170579pe	Ferrari, Mauro	The Methodist Hospital Research Institute	Koong, Albert
RP170041pe	Wan, Yihong	The University of Texas Southwestern Medical Center	Greene, Geoffrey
RP170098pe	Gustafsson, Jan-Åke	University of Houston	Lawlor, Elizabeth; Fearon, Eric; Knudsen, Karen
RP170587pe	Dashwood, Roderick	Texas A&M University System Health Science Center	Fearon, Eric
RP170101pe	Wang, Wenyi	The University of Texas M. D. Anderson Cancer Center	Mucci, Lorelei
RP170051pe	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt
RP170324pe	Hao, Guiyang	The University of Texas Southwestern Medical Center	Wu, Anna

\* = Not discussed




<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP170409pe	Cai, Hancheng	The University of Texas Southwestern Medical Center	Jadvar, Hossein

\* = Not discussed


**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
	RP170139	Dmitrofsky, Ethan	The University of Texas M. D. Anderson Cancer Center	Fiering, Steven	NOT DISCUSSED	Brendan Morales BRM
9/21/16	RP170180	Huang, Suyun	The University of Texas M. D. Anderson Cancer Center	Swanson, Kristin		Brendan Morales BRM
9/21/16	RP170233	Hancock, John	The University of Texas Health Science Center at Houston	Haigis, Kevin		Brendan Morales BRM
9/21/16	RP170233	Hancock, John	The University of Texas Health Science Center at Houston	McMahon, Martin		BRENDAN Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/21/16

**Comments:**

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**2017 Cancer Prevention and Research Institute of Texas Research Programs**

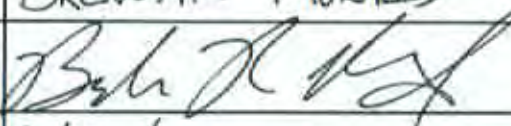
**Panel: 17.1 Basic Cancer Research-1**

**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):	BRENDAN MORALES
Signature:	
Date:	9/21/16

**Comments:**

NO ADDITIONAL COIS

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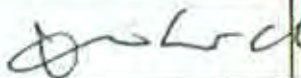
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**2017 Cancer Prevention and Research Institute of Texas Research Programs**

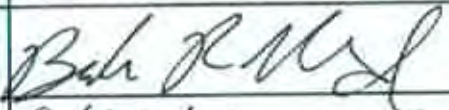
**Panel: 17.1 Basic Cancer Research-2**

**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*
9/22/16	RR170263	Zhang, Ruiwen	Texas Tech Univ. Health Sciences Center	XINBIN CHEN		Brendan Morales BRM
<del>9/22/16</del>						

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/22/16

**Comments:**

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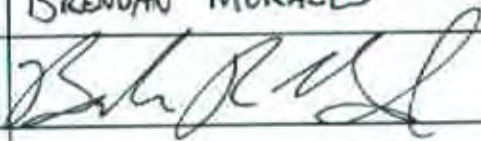
**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
9/23/16	RP170032	Zhou, Jia	The University of Texas Medical Branch at Galveston	Neamati, Nouri	NOT DISCUSSED	Brendan Morales BRM
9/23/16	RP170114	Morrison, Sean	The University of Texas Southwestern Medical Center	Fearno, Eric	X 	Brendan Morales BRM
9/23/16	RP170214	Shen, Qiang	The University of Texas M. D. Anderson Cancer Center	Neamati, Nouri	NOT DISCUSSED	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/23/16

**Comments:**

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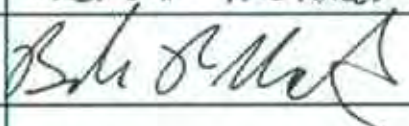
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Research Programs**  
**Panel: 17.1 Cancer Biology**  
**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*

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	

**Comments:**

NO ADDITIONAL COI'S

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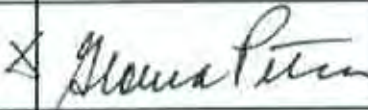

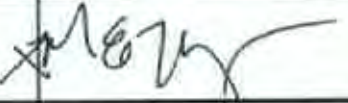
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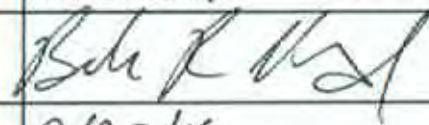
2017 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 17.1 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*
9/28/16	RP170011	Berenson, Abbey	The University of Texas Medical Branch at Galveston	Petersen, Gloria		Brendan Morales BRM
9/28/16	RP170064	Chow, Wing-Ho	The University of Texas M. D. Anderson Cancer Center	Brandon, Thomas	NOT DISCUSSED	Brendan Morales BRM
9/28/16	RP170064	Chow, Wing-Ho	The University of Texas M. D. Anderson Cancer Center	Schnoll, Robert	NOT DISCUSSED	Brendan Morales BRM
9/28/16	RP170071	Lupo, Philip	Baylor College of Medicine	Oishi, Andrew		Brendan Morales BRM
9/28/16	RP170082	Schembre, Susan	The University of Texas M. D. Anderson Cancer Center	Martinez, Maria		Brendan Morales BRM

SRA Approval:

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/28/16

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**

**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
9/28/16	RP170259	Chang, Shine	The University of Texas M. D. Anderson Cancer Center	Parkett, Electra	X <i>Electra P. Parkett</i>	Brendan Morales BRM
9/28/16	RP170276	Roncancio, Angelica	The University of Texas Health Science Center at Houston	Kushi, Lawrence	<i>Lawrence Kushi</i>	Brendan Morales BRM
9/28/16	RP170354	Xu, Hua	The University of Texas Health Science Center at Houston	Harlow, William	NOT DISCUSSED	Brendan Morales BRM
9/28/16	RP170354	Xu, Hua	The University of Texas Health Science Center at Houston	Petersen, Gloria	NOT DISCUSSED	Brendan Morales BRM
9/28/16	RP170448	Tang, Yi-Yuan	Texas Tech University	Brandon, Thomas	NOT DISCUSSED	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	9/28/16

**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 prior during the discussion of the application.

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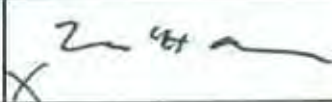
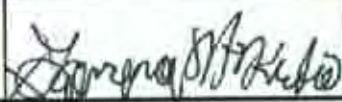
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**


**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
9/28/16	RPI70493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Brandon, Thomas		Brandon Morales BRM
9/28/16	RPI70493	Fernandez, Maria	The University of Texas Health Science Center at Houston	Kushi, Lawrence		Brandon Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature	
Date:	9/28/16

**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**

**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.I 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*

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	9/28/16

**Comments:**

NO ADDITIONAL COI'S

\* 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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69-17

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
9/27/16	RP170066	Fucyo, Juan	The University of Texas M. D. Anderson Cancer Center	Prafos, Michael	X [Signature]	Brendan Morales BRM
9/27/16	RP170079	Keyomarsi, Khandan	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin	X [Signature]	Brendan Morales BRM
9/27/16	RP170106	Nurieva, Roza	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	X [Signature]	Brendan Morales BRM
9/27/16	RP170317	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Van Allen, Eliezer	VERIFIED TELEPHONICALLY BY SRA	Brendan Morales BRM
9/27/16	RP170348	Drab, Adi	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	X [Signature]	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	[Signature]
Date:	9/27/16

**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


2017 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 17.1 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*
9/27/16	RP170389	Symons, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Danna	NOT DISCUSSED	Brendan Morales BRM
9/27/16	RP170416	Sevick, Eva	The University of Texas Health Science Center at Houston	Dubnett, Steven	NOT DISCUSSED	Brendan Morales BRM
9/27/16	RP170416	Sevick, Eva	The University of Texas Health Science Center at Houston	Ribas, Antoni	NOT DISCUSSED	Brendan Morales BRM
9/27/16	RP170510	Reynolds, Charles	Texas Tech University Health Sciences Center	Grupp, Stephan	VERIFIED: NOT XPRESENT (a)	Brendan Morales BRM
9/27/16	RP170537	Wang, Rongfu	The Methodist Hospital Research Institute	Kast, W. Martin		Brendan Morales BRM

SRA Approval:

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/27/16

Comments:

(a) Stephan Grupp left the meeting before application was discussed.
--

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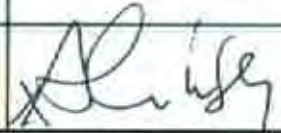
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**


**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
9/27/16	RP170537	Wang, Kongju	The Methodist Hospital Research Institute	Sette, Alessandro		Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/27/16

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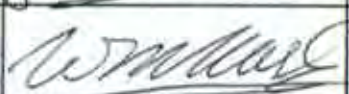
**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**

**2017 Cancer Prevention and Research Institute of Texas Research Programs**

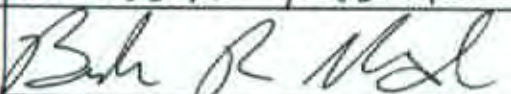
**Panel: 17.1 Clinical/Translational Cancer Research**

**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*
9/27/16	RP170470	Kang, Min	TEXAS TECH UNIV. HEALTH SCIENCE CENTER	KAST, MARTIN		Brendan Morales BRM
9/27/16	RP170510	Reynolds, Charles	TEXAS TECH UNIV. HEALTH SCIENCE CENTER	KAST, MARTIN		Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/27/16

**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**  
**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
9/26/16	RP170100	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt		Brendan Morales BRM
9/26/16	RP170253	Kundra, Vikas	The University of Texas M D Anderson Cancer Center	Johnson, G. Allan	NOT DISCUSSED	Brendan Morales BRM
9/26/16	RP170527	ghaghada, ketan	Baylor College of Medicine	Basilion, James		Brendan Morales BRM
9/26/16	RP170548	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Basilion, James	NOT DISCUSSED	Brendan Morales BRM
9/26/16	RP170548	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Pomper, Martin	NOT DISCUSSED	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/26/16

**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**

**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 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*
9/26/16	RP170548	Rodriguez, Ronald	The University of Texas Health Science Center at San Antonio	Wu, Anna	NOT DISCUSSED	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	9/26/16

**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

2017 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 17.1 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*
9/26/16	RP170527	Ghaghada, Ketan	Baylor College of Medicine	Johnson, Allan		Brendan Morales BRM

SRA Approval:

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	9/26/16

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**

**2017 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 17.1 Scientific Review Council 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*

**SRA Approval:**

Name (PRINT):	Katia Garcia-Crespo
Signature:	<i>Katia Henao Crespo</i>
Date:	10-13-2016

**Comments:**

NO COIs
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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 Disclosure**  
**Academic Research Recruitment Cycle 17.3-17.6 Applications**  
**(Academic Research Recruitment Cycle 17.3-17.6 Awards Announced at February 15,**  
**2017, 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 17.3-17.6 include *Recruitment of First-Time, Tenure-Track Faculty Members, Recruitment of Rising Stars, and Recruitment of Established Investigators*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR170008	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	O’Reilly, Richard
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

\* = Not discussed


**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 3 and 4**

**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*
11/10/16	RR170008	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	O'Reilly, Richard	VERIFIED TELEPHONICALLY BY CSRA	BRM Brendan Morales

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	11/10/16

**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**

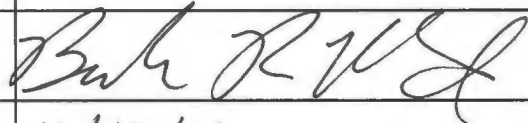
**2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 3 and 4**

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):	BRENDAN MORALES
Signature:	
Date:	11/10/16

**Comments:**

NO ADDITIONAL COI'S

\* 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**

**2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 5 and 6**

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:**

**Comments:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	1/12/17

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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**Conflicts of Interest Disclosure**  
**Academic Research Recruitment Cycle 17.7-17.9 Applications**  
**(Academic Research Recruitment Cycle 17.7-17.9 Awards Announced at May 17, 2017,**  
**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 17.7-17.9 include *Recruitment of First-Time, Tenure-Track Faculty Members, Recruitment of Rising Stars, and Recruitment of Established Investigators*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
No conflicts reported.			
<b>Applications not considered by the PIC or Oversight Committee</b>			
No conflicts reported.			

\* = Not discussed

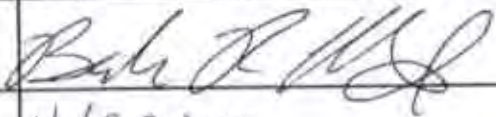
**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 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*

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	4/22/17

**Comments:**

No ADDITIONAL COI'S

\* 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  
2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 7 and 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*

**SRA Approval:**

**Comments:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>Brendan R Morales</i>
Date:	03/22/17

NO ADDITIONAL COI's

\* 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 Disclosure**  
**Academic Research Recruitment 17.10-.12 Applications**  
**(Academic Research Recruitment Cycles 17.10-.12 Awards Announced at August 16, 2017,**  
**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 17.10-.12 include *Recruitment of Established Investigators, 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.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR170061	John Fitz	The University of Texas Southwestern Medical Center	Thomas Sellers
RR170054	Appling, Dean	The University of Texas at Austin	Angelos Angelou
<b>Applications not considered by the PIC or Oversight Committee</b>			
RR170052	Michael Harold	University of Houston	Richard O'Reilly

\* = Not discussed

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

**2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 10**

**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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Alison Darling
Signature:	<i>Alison Darling</i>
Date:	5/11/17

**Comments:**

No COI's

\* A CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 11**

**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	CSRA Name/Initials*
	RR170052	Harold, Michael	University of Houston	O'Reilly, Richard	Verified Telephonically	Alison Darling AMD
	RR170061	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas	Verified Telephonically	Alison Darling AMD

**CSRA Approval:**

Name (PRINT):	Alison Darling
Signature:	<i>Alison Darling</i>
Date:	6/15/2017

**Comments:**

\* A CSRA 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  
2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 11**

**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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Alison Darling
Signature:	<i>Alison Darling</i>
Date:	6/15/2017

**Comments:**

*No additional COI's*

\* A CSRA 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**

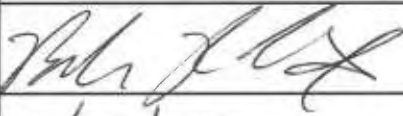
**2017 Cancer Prevention and Research Institute of Texas Recruitment Program**

**Panel: Recruitment FY17 Cycle 12**

**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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Brendan Morales
Signature:	
Date:	7/13/17

**Comments:**

No COI's

\* A CSRA 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 Disclosure**  
**Academic Research 17.2 Applications**  
**(Academic Research Cycle 17.2 Awards Announced at August 16, 2017, 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 17.2 include *High Impact/High Risk Research Awards* and *Core Facility Support 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.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RP170691	Michael Lewis	Baylor College of Medicine	Geoffrey Greene; Geoffrey Wahl
RP170719	Michael Mancini	Texas A&M University System Health Science Center	James Basilion
<b>Applications not considered by the PIC or Oversight Committee</b>			
RP170738	Frank McKeon	University of Houston	Kevin Haigis
RP170700	Junghae Suh	Rice University	Matthew Weitzman
RP170706*	Fakhrul Ahsan	Texas Tech University Health Sciences Center	Yves DeClerck
RP170657*	Bingliang Fang	The University of Texas M. D. Anderson Cancer Center	Howard Hochster
RP170661	Andrew Koh	The University of Texas Southwestern Medical Center	Stephen Grupp
RP170711*	Zhilei Chen	Texas A&M University System Health Science Center	Victor Engelhard
RP170756*	Min Kang	Texas Tech University Health Sciences Center	W. Martin Kast
RP170787	Kyuson Yun	The Methodist Hospital Research Institute	Donna Niedzwiecki; Howard Hochster


\* = Not discussed

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP170788*	Yang-Xin Fu	The University of Texas Southwestern Medical Center	Victor Engelhard; Walter Stadler
RP170790*	Jenny Chang	The Methodist Hospital Research Institute	Howard Hochster
RP170621	Kenneth Hoyt	The University of Texas at Dallas	Kurt Zinn
RP170704	Alessandro Grattoni	The Methodist Hospital Research Institute	Ross Berbeco
RP170784*	Zhenpeng Qin	The University of Texas at Dallas	Kurt Zinn
RP170687	Anirban Maitra	The University of Texas M.D. Anderson Cancer Center	Margaret Tempero

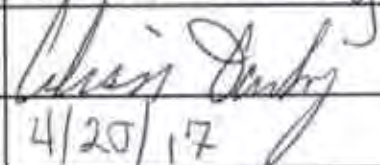
\* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Research Program**  
**Panel: 17.2 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*
4/20/17	RP170738	McKeon, Frank	University of Houston	Hargis, Kevin		AD Alison Darling

**SRA Approval:**

Name (PRINT):	Alison Darling
Signature:	
Date:	4/20/17

**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  
2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 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*

**SRA Approval:**

Name (PRINT):	Alison Darling
Signature:	<i>Alison Darling</i>
Date:	4/20/17

**Comments:**

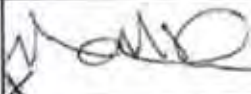
No Additional COI's

\* 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.

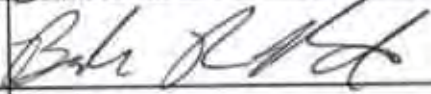
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Research Program**  
**Panel: 17.2 Basic Cancer Research-2**  
**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*
4/24/17	RP170700	Suh, Junghae	Rice University	Weitzman, Matthew		BRM Brendan Morales

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	4/24/17

**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 journal room during the discussion of the application.

**Procurement Sensitive Document**

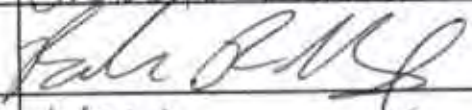
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 - Cancer Prevention and Research Institute of Texas Research Program**  
**Panel: 17.2 Basic Cancer 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):	BREUDAN MORALES
Signature:	
Date:	4/24/17

**Comments:**

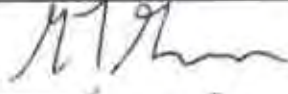
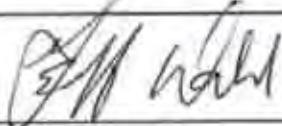
No ADDITIONAL COI<sup>s</sup>.

\* 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.

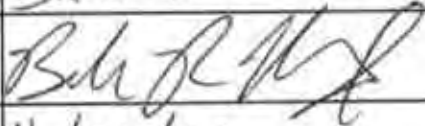
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Research Program**  
**Panel: 17.2 Cancer Biology**  
**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*
4/19/17	RP170691	Lewis, Michael	Baylor College of Medicine	Greene, Geoffrey		Brendan Morales BRM
4/19/17	RP170691	Lewis, Michael	Baylor College of Medicine	Wahl, Geoffrey		Brendan Morales BRM
4/12/17	RP170706	Absan, Fakhri	Texas Tech University Health Sciences Center	DeClerck, Yves	NOT DISCUSSED	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	4/19/17

**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  
2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 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*

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>B. Morales</i>
Date:	4/19/17

**Comments:**

NO ADDITIONAL COI'S

\* 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**

**2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 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*
4/25/17	RP170657	Fang, Bingliang	The University of Texas M. D. Anderson Cancer Center	Hochster, Howard	NOT DISCUSSED	BRM Brendan Morales
4/25/17	RP170661	Koh, Andrew	The University of Texas Southwestern Medical Center	Grupp, Stephan	[Signature]	BRM Brendan Morales
4/25/17	RP170711	Chen, Zhilei	Texas A&M University System Health Science Center	Engelhard, Victor		NOT DISCUSSED
4/25/17	RP170756	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin	NOT DISCUSSED	BRM Brendan Morales
4/25/17	RP170787	Yun, Kyuson	The Methodist Hospital Research Institute	Hochster, Howard	[Signature]	BRM Brendan Morales

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	[Signature]
Date:	4/25/17

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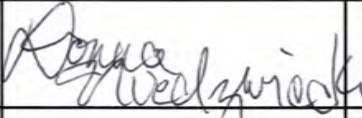
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**

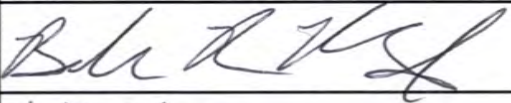
**2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 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*
4/25/17	RP170787	Yun, Kyuson	The Methodist Hospital Research Institute	Niedzwiecki, Donna		BRM Brendan Morales
4/25/17	RP170788	Fu, Yang-Xin	The University of Texas Southwestern Medical Center	Engelhard, Victor	NOT DISCUSSED	BRM Brendan Morales
4/25/17	RP170788	Fu, Yang-Xin	The University of Texas Southwestern Medical Center	Stadler, Walter	NOT DISCUSSED	BRM Brendan Morales
4/25/17	RP170790	Chang, Jenny	The Methodist Hospital Research Institute	Hochster, Howard	NOT DISCUSSED	BRM Brendan Morales

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	4/25/17

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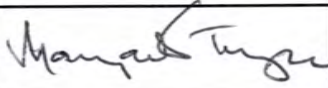
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**

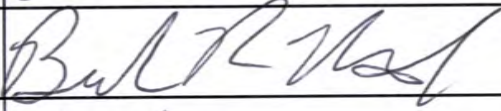
**2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 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*
4/25/17	RP170687	Maitra, Anirban	The University of Texas M.D. Anderson Cancer Center	Tempero, Margaret		BRM Brendan Morales

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	4/25/17

**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**

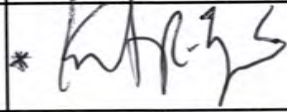
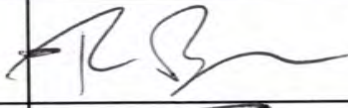
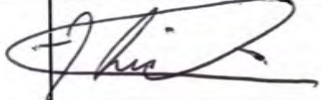
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**

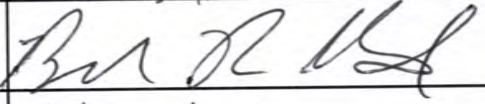
**2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 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*
4/27/17	RP170621	Hoyt, Kenneth	The University of Texas at Dallas	Zinn, Kurt	* 	BRM Brendan Morales
4/27/17	RP170704	Grattoni, Alessandro	The Methodist Hospital Research Institute	Berbeco, Ross		BRM Brendan Morales
<del>4/27/17</del>	RP170719	Mancini, Michael	Texas A&M University System Health Science Center	Basilion, James		BRM Brendan Morales
4/27/17	RP170784	Qin, Zhenpeng	The University of Texas at Dallas	Zinn, Kurt	NOT DISCUSSED	BRM Brendan Morales

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	4/27/17

**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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① Error. Correct date is 4/27/17 BRM  
4/27/17

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

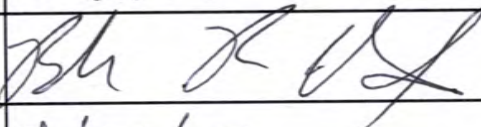
**2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 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):	BRENDAN MORALES
Signature:	
Date:	4/27/17

**Comments:**

NO ADDITIONAL COI'S

\* 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**


**2017 Cancer Prevention and Research Institute of Texas Research Program**

**Panel: 17.2 Scientific Review Council 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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Brendan Morales
Signature:	
Date:	7/13/2017

**Comments:**

NO COIS
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\* A CSRA 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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**Conflict of Interest Disclosure**  
**Academic Research Recruitment Cycle 16.10-16.12**  
**(Academic Research Recruitment Cycle 16.10-12**  
**Awards Announced at September 14, 2016, 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 16.10 include *Recruitment of Established Investigators*; *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.

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RR160089	Dmitrovsky, Ethan	The University of Texas M.D. Anderson Cancer Center	O’Reilly, Richard
RR160088	Appling, Dean	The University of Texas at Austin	Angelou, Angelos
RR160093	Johnston, Sterling	The University of Texas at Austin	Angelou, Angelos
RR160101	Fitz, John	The University of Texas Southwestern Medical Center	Jones, Peter
<b>Applications not considered by the PIC or Oversight Committee</b>			
RR160074	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas

\* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2016 Cancer Prevention and Research Institute of Texas Recruitment Programs**

**Panel: Recruitment FY16 Cycle 10**

**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*
5/26	RR160074	Fitz, John	The University of Texas Southwestern Medical Center	Sellers, Thomas	VERIFIED TELEPHONICALLY BY SRA	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	5/26/16

**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  
2016 Cancer Prevention and Research Institute of Texas Recruitment Programs**

**Panel: Recruitment FY16 Cycle 10**

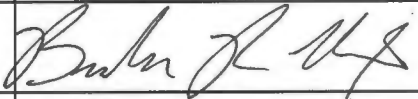
**Meeting Type: Teleconference Review**

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:**

**Comments:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	5/26/16

\* 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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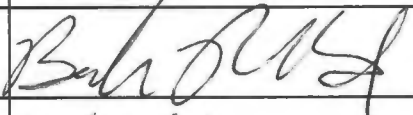
**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2016 Cancer Prevention and Research Institute of Texas Recruitment Programs**

**Panel: Recruitment FY16 Cycle 12**

**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*
7/14/16	RR160101	Fitz, John	The University of Texas Southwestern Medical Center	Jones, Peter	Verified Telephonically by SRA	Brendan Morales BRM

**SRA Approval:**

Name (PRINT):	BRENDAN MORALES
Signature:	
Date:	7/14/16

**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**

**2016 Cancer Prevention and Research Institute of Texas Recruitment Programs**

**Panel: Recruitment FY16 Cycle 12**

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):	BRENDAN MORALES
Signature:	<i>Brendan Morales</i>
Date:	7/14/16

**Comments:**

NO ADDITIONAL 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**

**2016 Cancer Prevention and Research Institute of Texas Recruitment Programs**

**Panel: Recruitment FY16 Cycle 11**

**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*
6/16/16	RR160089	Dmitrovsky, Ethan	The University of Texas M. D. Anderson Cancer Center	O'Reilly, Richard	verified telephonically	Morgan Majchrzak/mm

**SRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	<i>Morgan Majchrzak</i>
Date:	6/16/16

**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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**Conflicts of Interest Disclosure**  
**Academic Research Cycle 16.2 and 17.1 Applications**  
**(Academic Research Cycle 16.2 Awards Announced at May 18, 2016, and August 17, 2016,**  
**Oversight Committee Meetings; Academic Research Cycle 17.1 Core Facility Support**  
**Awards- Competitive Renewal Announced at September 14, 2016 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 16.2 include *High Impact/High Risk Research Awards*, *Core Facilities Support Awards*, *Core Facilities Support Awards-Competitive Renewal*, 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.

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
RP160657	Dalby, Kevin N	University of Texas at Austin	Angelou, Angelos
RP160704	Tucker, Haley O	University of Texas at Austin	Angelou, Angelos
RP160776	Schiavinato Eberlin, Livia	University of Texas at Austin	Angelou, Angelos
RP170003	Leff, Richard	Texas Tech University Health Sciences Center	Willson, James
<b>Applications not considered by the PIC or Oversight Committee</b>			
RP160703*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-AC*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-C1*	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P1*	MacDonald, Raymond	The University of Texas Southwestern Medical Center	Prendergast, George

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160703-P2*	Wilkie, Thomas	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P3*	Brekken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George
RP160703-P4*	Boothman, David	The University of Texas Southwestern Medical Center	Prendergast, George
RP160767*	Ghosh, Rita	The University of Texas Health Science Center at San Antonio	Houchens, David
RP160768*	Srivenugopal, Kalkunte	Texas Tech University Health Sciences Center	Wang, Xiao-Fan
RP160774*	Li, Bing	The University of Texas Southwestern Medical Center	Petrini, John
RP160782*	Suh, Junghae	Rice University	Weitzman, Matthew
RP160835	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-AC	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-C1	Zong, Chenghang	Baylor College of Medicine	Petrini, John
RP160835-P1	Rosenberg, Susan	Baylor College of Medicine	Petrini, John
RP160835-P2	Miller, Kyle	The University of Texas at Austin	Petrini, John
RP160835-P3	Scott, Kenneth	Baylor College of Medicine	Petrini, John
RP160655*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-AC*	Roth, Jack	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-C1*	Wang, Jing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P1*	Wu, Xifeng	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160655-P2*	Ji, Lin	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160655-P3*	Calin, George	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160705*	Orlowski, Robert	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160739	Shi, Xiaobing	The University of Texas M.D. Anderson Cancer Center	Bernstein, Bradley
RP160760*	Sikora, Andrew	Baylor College of Medicine	Costello, Joseph; Wahl, Geoffrey
RP160765	Gregory, Carl	Texas A&M University Health Science Center	Fearon, Eric; Lawlor, Elizabeth
RP160769	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-AC	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-C1	Mancini, Michael	Baylor College of Medicine	Greene, Geoffrey
RP160840-C2	Farach-Carson, Mary	Rice University	Greene, Geoffrey
RP160840-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey
RP160840-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey
RP160840-P3	Weigel, Nancy	Baylor College of Medicine	Greene, Geoffrey
RP160856	Kim, Jung-whan	The University of Texas at Dallas	Werb, Zena
RP160661	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-AC	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-C1	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P1	Yang, Ming	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P2	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160661-P3	Shao, Yiping	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P4	Lu, Weigno	The University of Texas Southwestern Medical Center	Koong, Albert
RP160661-P5	Wang, Jing	The University of Texas Southwestern Medical Center	Koong, Albert
RP160663*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-AC*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C1*	Overwijk, Willem	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-C2*	Piwnica-Worms, David	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P1*	Liu, Jinsong	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P2*	Sood, Anil	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160663-P3*	Li, Chun	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160672	Woodman, Scott	The University of Texas M.D. Anderson Cancer Center	Engelhard, Victor
RP160679*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-AC*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C1*	Kapur, Payal	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-C2*	Xie, Xian-Jin	The University of Texas Southwestern Medical Center	Koong, Albert

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160679-C3*	Pedrosa, Ivan	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P1*	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P2*	Timmerman, Robert	The University of Texas Southwestern Medical Center	Koong, Albert
RP160679-P3*	Mani, Ram	The University of Texas Southwestern Medical Center	Koong, Albert
RP160693	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-AC	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C1	Kornblau, Stephen	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C2	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-C3	Do, Kim-Anh	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P1	Andreeff, Michael	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P2	Rezvani, Katy	The University of Texas M.D. Anderson Cancer Center	DePersio, John
RP160693-P3	Gottschalk, Stephen	Baylor College of Medicine	DePersio, John
RP160710	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-AC	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-C1	Moulder, Stacy	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160710-C2	Davies, Peter	Texas A&M University Health Science Center Institute of Biosciences and Technolofy	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-C3	Symmans, William	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-P1	Thompson, Alastarr	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-P2	Hong, Mien-Chie	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160710-P3	Mani, Sendurai	The University of Texas M.D. Anderson Cancer Center	Grandis, Jennifer; Kast, W. Martin; Niedzwiecki, Donna
RP160724*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-AC*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-C1*	Saha, Debabrata	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P1*	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P2*	Aroumougame, Asaithamby	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P3*	Chen, Ping-Chi	The University of Texas Southwestern Medical Center	Koong, Albert
RP160724-P4*	Hannan, Raquibul	The University of Texas Southwestern Medical Center	Koong, Albert
RP160745	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-AC	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-C1	Rosen, Daniel	Baylor Research Institute	Kast, W. Martin
RP160745-C2	Becnel, Lauren	Baylor Research Institute	Kast, W. Martin

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160745-P1	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160745-P2	Wheeler, David	Baylor Research Institute	Kast, W. Martin
RP160745-P3	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin
RP160826	Fleming, Jason	The University of Texas M.D. Anderson Cancer Center	Prados, Michael
RP160843*	Chang, Jenny	The Methodist Hospital Research Institute	Curran, Walter
RP160864*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-AC*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-C1*	Liu, Xuewu	Houston Methodist	Riddell, Stanley
RP160864-C2*	Gee, Adrian	Baylor College of Medicine	Riddell, Stanley
RP160864-P1*	Shen, Haifa	Houston Methodist	Riddell, Stanley
RP160864-P2*	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley
RP160864-P3*	Rooney, Cliona	Baylor College of Medicine	Riddell, Stanley
RP160697*	Kundra, Vikas	The University of Texas M.D. Anderson Cancer Center	Johnson, G. Allan
RP160702	Mancini, Michael	Texas A&M University System Health Science Center	Basillion, James
RP160718	Betancourt, Tania	Texas State University-San Marcos	Berbeen, Ross
RP16074	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-C1	Elting, Linda	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-C2	Peterson, Susan	The University of Texas M.D. Anderson Cancer Center	Barlow, William

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP16074-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP16074-P2	Glordano, Sharon	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-P3	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP16074-P4	Guadagnolo, Beverly	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160735	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-AC	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-C1	Glickman, Randolph	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-C2	Tiziani, Stefano	The University of Texas at Austin	Barlow, William
RP160735-C3	Gelfond, Jonathan	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P1	DiGiovanni, John	The University of Texas at Austin	Barlow, William
RP160735-P2	Slaga, Thomas	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P3	Kumar, Pratap	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160735-P4	Thompson, Ian	The University of Texas Health Science Center at San Antonio	Barlow, William
RP160674	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP160674-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William

\* = Not discussed

<b>Application ID</b>	<b>Applicant</b>	<b>Institution</b>	<b>Conflict Noted</b>
RP160674-C1	Elting, Linda	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-C2	Peterson, Susan	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William
RP160674-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William
RP160674-P2	Giordano, Sharon	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-P3	Smith, Benjamin	The University of Texas M.D. Anderson Cancer Center	Barlow, William
RP160674-P4	Guadagnolo, Beverly	The University of Texas M.D. Anderson Cancer Center	Barlow, William

\* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 Basic Cancer Research-1**

Meeting Type: Onsite Review

Date	Application Number	Applicant/PI/PI Name	Applicant/PI/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/14	RP160703	Brecken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George	<i>Not Discussed</i>	<i>GD Thomas Doldin</i>
3/14	RP160703-AC	Brecken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George	<i>Not Discussed</i>	<i>GD Thomas Doldin</i>
3/14	RP160703-C1	Hwang, Tae Hyun	The University of Texas Southwestern Medical Center	Prendergast, George	<i>Not Discussed</i>	<i>GD Thomas Doldin</i>
3/14	RP160703-P1	MacDonald, Raymond	The University of Texas Southwestern Medical Center	Prendergast, George	<i>Not Discussed</i>	<i>GD</i>
3/14	RP160703-P2	Wilkie, Thomas	The University of Texas Southwestern Medical Center	Prendergast, George	<i>Not Discussed</i>	<i>GD</i>

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

SRA Approval:

Name (PRINT):	<i>THOMAS R. DOLDIN</i>
Signature:	<i>[Signature]</i>
Date:	<i>3/14/16</i>

Comments:

--

\* All SRA Representatives 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**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/14	RP160703-P3	Brecken, Rolf	The University of Texas Southwestern Medical Center	Prendergast, George	<i>Not Discussed</i>	<i>GD</i>
3/14	RP160703-P4	Bouhman, David	The University of Texas Southwestern Medical Center	Prendergast, George	<i>Not Discussed</i>	<i>GD</i>
3/14	RP160767	Ghosh, Rita	The University of Texas Health Science Center at San Antonio	Houchens, David	<i>Not Discussed</i>	<i>GD</i>
3/14	RP160768	Srivengopal, Kalumita	Texas Tech University Health Sciences Center	Wang, Xiao-Fan	<i>Not Discussed</i>	<i>GD</i>

69-70

SRA Approval:

Name (PRINT):	THOMAS R. DOBETT
Signature:	<i>[Signature]</i>
Date:	3/14/16

Comments:

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\* An SRA Representative will add their name and initials to this 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**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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/PI/PI Name	Applicant/PI/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16	RP160734	Li, Bing	The University of Texas Southwestern Medical Center	Perrin, John		JP
3/16	RP160782	Suh, Jonghae	Rice University	Weizman, Matthew		MP
3/16	RP160835	Rosenberg, Susan	Baylor College of Medicine	Perrin, John		JP
3/16	RP160835-AC	Rosenberg, Susan	Baylor College of Medicine	Perrin, John		JP
3/16	RP160835-CT1	Zang, Chonghang	Baylor College of Medicine	Perrin, John		JP

SRA Approval:

Comments:

Name (PRINT):	THOMAS R. DOVELTZ
Signature:	
Date:	3/16/16

Comments:	
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\* An SRA Representative will add their name and initials to the form to acknowledge that they received identification of a conflict of interest, have 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

2016 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 16.2 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/PI/PI Name	Applicant/PI/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/16	RP160835-11	Rosenberg, Susan	Baylor College of Medicine	Perrini, John		JP
3/16	RP160835-12	Multer, Kyle	The University of Texas at Austin	Perrini, John		JP
3/16	RP160835-13	Sport, Kenneth	Baylor College of Medicine	Perrini, John		JP

SRA Approvals:

Name (PRINT):	THOMAS R. DODDZIN
Signature:	
Date:	3/16/16

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**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 Cancer Biology**

Meeting Type: Onsite Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/15	RP160655	Roth, Jack	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<del>Brad Bernstein</del> NB	JD
3/15	RP160655-AC	Roth, Jack	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<del>Brad Bernstein</del> NB	JD
3/15	RP160655-C1	Wang, Jing	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<del>Brad Bernstein</del> NB	JD
3/15	RP160655-P1	Wu, Xifeng	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<del>Brad Bernstein</del> NB	JD
3/15	RP160655-P2	Ji, Lin	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<del>Brad Bernstein</del> NB	JD

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

SRA Approval:

Name (PRINT)	THOMAS R DANEELN
Signature	
Date	3/15/16

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**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 Cancer Biology**  
 Meeting Type: Onsite Review

Date	Application Number	Applicant/PO/PI Name	Applicant/PO/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/15	RP160655-P3	Cain, George	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<i>Not Discussed</i>	<i>JD</i>
3/15	RP160705	Orlowski, Robert	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<i>Not Discussed</i>	<i>JD</i>
3/15	RP160739	Shi, Xiaobing	The University of Texas M. D. Anderson Cancer Center	Bernstein, Bradley	<del><i>Not Discussed</i></del> <i>Not Discussed</i>	<i>JD</i>
3/15	RP160760	Sikora, Andrew	Baylor College of Medicine	Costello, Joseph	<i>Not Discussed</i>	<i>JD</i>
3/15	RP160760	Sikora, Andrew	Baylor College of Medicine	Wall, Geoffrey	<i>Not Discussed</i>	<i>JD</i>

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

SRA Approval:

Name (PRINT):	THOMAS R. DOELIN
Signature:	<i>[Signature]</i>
Date:	3/15/16

Comments:






\* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer submitted as a Conflict of Interest has signed the form and left the panel rooms during the absences 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**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 Cancer Biology**  
 Meeting Type: Onsite Review

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/15	RP160765	Gregory, Carl	Texas A&M University System Health Science Center	Fenton, Eric		EF
3/15	RP160765	Gregory, Carl	Texas A&M University System Health Science Center	Jawlor, Elizabeth		EF
3/15	RP160769	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey		GF
3/15	RP160840	Rowley, David	Baylor College of Medicine	Greene, Geoffrey		GF
3/15	RP160840-AC	Rowley, David	Baylor College of Medicine	Greene, Geoffrey		GF

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

SRA Approval:

Name (PRINT):	THOMAS R. DODELIN
Signature:	
Date:	3/15/16

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 applications.

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

2016 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 16.2 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*
3/15	RP160840-C1	Mancho, Michael	Baylor College of Medicine	Greene, Geoffrey		GD
3/15	RP160840-C2	Fitrach-Carson, Mary	Rice University	Greene, Geoffrey		GD
3/15	RP160840-P1	Zhang, Xiang	Baylor College of Medicine	Greene, Geoffrey		GD
3/15	RP160840-P2	Rowley, David	Baylor College of Medicine	Greene, Geoffrey		GD
3/15	RP160840-P3	Weigel, Nancy	Baylor College of Medicine	Greene, Geoffrey		GD

69-76

SRA Approval:

Name (PRINT):	THOMAS R. DODELIN
Signature:	
Date:	3/15/16

Comments:

--

\* All SRA Representatives 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

2016 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 16.2 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/PI Name	Applicant/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/15	RPT60856	Kim, Jung-won	The University of Texas at Dallas	Werb, Zeph		JD

SRA Approval:

Name (PRINT)	THOMAS R. DODELIN
Signature	
Date	3/15/16

Comments:

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

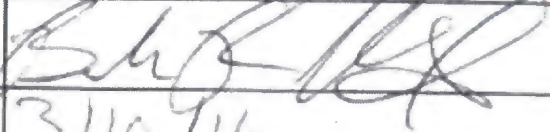
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10/16	RP160661	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales
3/10/16	RP160661-AC	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales
3/10/16	RP160661-C1	Jiang, Steve	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales
3/10/16	RP160661-P1	Yang, Ming	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales
3/10/16	RP160661-P2	Jia, Xun	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature:	
Date	3/10/16

**Comments:**

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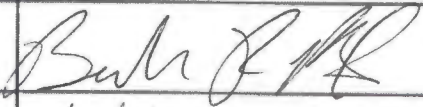
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**Panel: 16.2 Clinical / Translational Cancer Research**

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*
3/10/16	RP160661-P3	Shao, Yiping	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales
3/10/16	RP160661-P4	Lu, Weiguo	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales
3/10/16	RP160661-P5	Wang, Jing	The University of Texas Southwestern Medical Center	Koong, Albert		BM Brendan Morales
3/10/16	RP160663	Li, Chun	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	NOT DISCUSSED	BM Brendan Morales
3/10/16	RP160663-AC	Li, Chun	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	NOT DISCUSSED	BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
Date	3/14/16

**Comments:**

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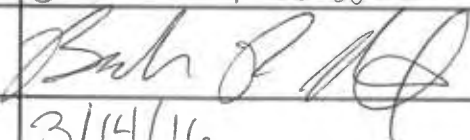
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**Panel: 16.2 Clinical / Translational Cancer Research**

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10	RP160663-C1	Overwijk, Willem	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	NOT DISCUSSED	BM Brendan Morales
3/10	RP160663-C2	Piwien-Worms, David	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	NOT DISCUSSED	BM Brendan Morales
3/10	RP160663-P1	Liu, Jinsong	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	NOT DISCUSSED	BM Brendan Morales
3/10	RP160663-P2	Sood, Anil	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	NOT DISCUSSED	BM Brendan Morales
3/10	RP160663-P3	Li, Chun	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	NOT DISCUSSED	BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
Date	3/14/16

**Comments:**

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**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160672	Woodman, Scott	The University of Texas M. D. Anderson Cancer Center	Engelhard, Victor	<i>[Signature]</i>	BM Brendan Morales
3/10	RP160679	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160679-AC	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160679-C1	Kapur, Payal	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160679-C2	Xie, Xian-Jun	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales

**SRA Approval:**

Name (PRINT):	Brendan Morales
Signature:	<i>[Signature]</i>
Date:	3/14/16

**Comments:**

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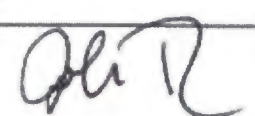
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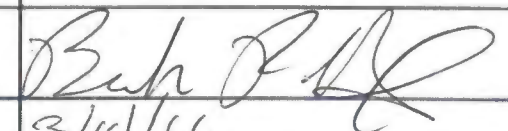
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160679-C3	Pedrosa, Ivan	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160679-P1	Brugarolas, James	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160679-P2	Timmerman, Robert	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160679-P3	Mani, Ram	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160693	Andreeff, Michael	The University of Texas M. D. Anderson Cancer Center	DiPersio, John		BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
Date	3/14/16

**Comments:**

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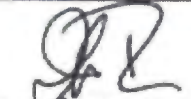

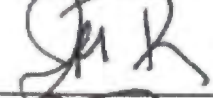
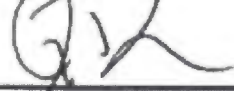
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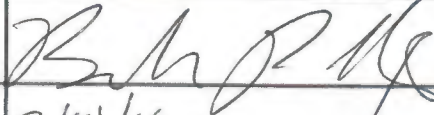
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**Panel: 16.2 Clinical / Translational Cancer Research**

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10	RP160693-AC	Andreeff, Michael	The University of Texas M. D. Anderson Cancer Center	DiPersio, John		BM Brendan Morales
3/10	RP160693-C1	Kornblau, Stephen	The University of Texas M. D. Anderson Cancer Center	DiPersio, John		BM Brendan Morales
3/10	RP160693-C2	Andreeff, Michael	The University of Texas M. D. Anderson Cancer Center	DiPersio, John		BM Brendan Morales
3/10	RP160693-C3	Do, Kim-Anh	The University of Texas M. D. Anderson Cancer Center	DiPersio, John		BM Brendan Morales
3/10	RP160693-P1	Andreeff, Michael	The University of Texas M. D. Anderson Cancer Center	DiPersio, John		BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
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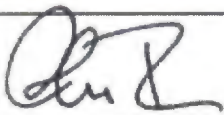
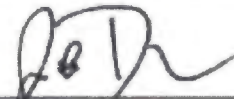


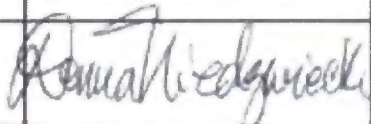
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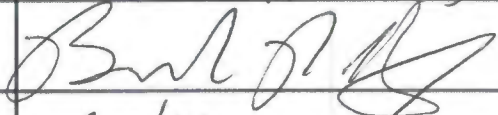
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**Panel: 16.2 Clinical / Translational Cancer Research**

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10	RP160693-P2	Rezvani, Katy	The University of Texas M. D. Anderson Cancer Center	DiPersio, John		BM Brendan Morales
3/10	RP160693-P3	Gottschalk, Stephen	Baylor College of Medicine	DiPersio, John		BM Brendan Morales
3/10	RP160710	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Grandis, Jennifer		VERIFIED TELEPHONICALLY
3/10	RP160710	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		BM Brendan Morales
3/10	RP160710	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
Date	3/14/16

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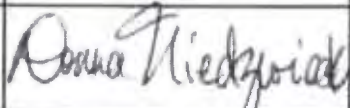
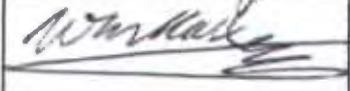
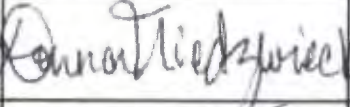

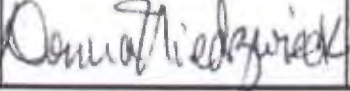
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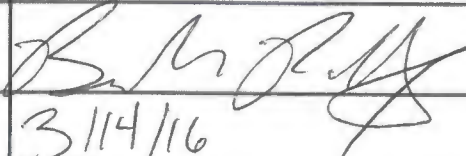
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160710-AC	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Grandis, Jennifer		BM Brendan Morales
3/10	RP160710-AC	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		BM Brendan Morales
3/10	RP160710-AC	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		BM Brendan Morales
3/10	RP160710-C1	Moulder, Stacy	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		BM Brendan Morales
3/10	RP160710-C1	Moulder, Stacy	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
Date	3/14/16

**Comments:**

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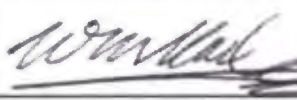
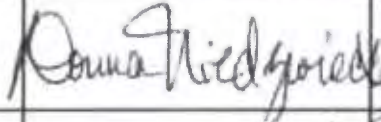


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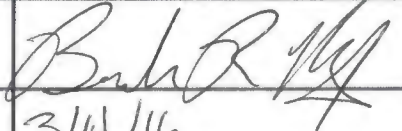
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160710-C2	Davies, Peter	Texas A&M University Health Science Center Institute of Biosciences and Technology	Kast, W. Martin		BH Brendan Morales
3/10	RP160710-C2	Davies, Peter	Texas A&M University Health Science Center Institute of Biosciences and Technology	Niedzwiecki, Donna		BH Brendan Morales
3/10	RP160710-C3	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Kast, W. Martin		BH Brendan Morales
3/10	RP160710-C3	Symmans, William	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna		BH Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
Date	3/14/16

**Comments:**

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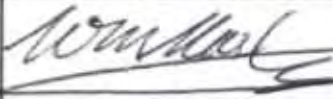
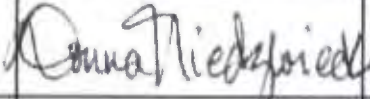

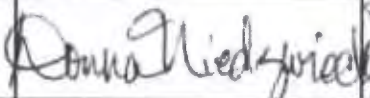
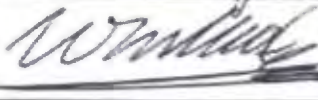
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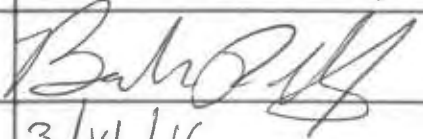
**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160710-P1	Thompson, Alastair	The University of Texas M D. Anderson Cancer Center	Kast, W. Martin		BM Brendan Mocalos
3/10	RP160710-P1	Thompson, Alastair	The University of Texas M D. Anderson Cancer Center	Niedzwiecki, Donna		BM Brendan Mocalos
3/10	RP160710-P2	Hung, Mien-Chie	The University of Texas M D. Anderson Cancer Center	Kast, W. Martin		BM Brendan Mocalos
3/10	RP160710-P2	Hung, Mien-Chie	The University of Texas M D. Anderson Cancer Center	Niedzwiecki, Donna		BM Brendan Mocalos
3/10	RP160710-P3	Mani, Sendurai	The University of Texas M D. Anderson Cancer Center	Kast, W. Martin		BM Brendan Mocalos

**SRA Approval:**

Name (PRINT)	Brendan Mocalos
Signature	
Date	3/14/16

**Comments:**

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

**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160710-P3	Mani, Sinduraj	The University of Texas M. D. Anderson Cancer Center	Niedzwiecki, Donna	<i>Donna Niedzwiecki</i>	BM Brendan Morales
3/10	RP160724	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160724-AC	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160724-C1	Saha, Debraj	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160724-P1	Story, Michael	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature:	<i>Brendan Morales</i>
Date	3/14/16

**Comments:**

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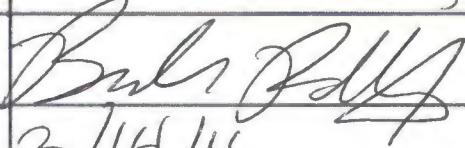
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**Panel: 16.2 Clinical / Translational Cancer Research**

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/10	RP160724-P2	Aroumougame, Asathamby	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160724-P3	Chen, Ping-Chi	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160724-P4	Hannan, Raquibul	The University of Texas Southwestern Medical Center	Koong, Albert	NOT DISCUSSED	BM Brendan Morales
3/10	RP160745	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin	<del>W. Martin</del>	BM Brendan Morales
3/10	RP160745-AC	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin	<del>W. Martin</del>	BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
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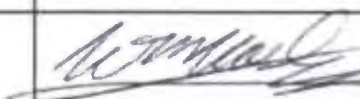




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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**

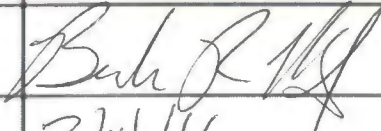
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160745-C1	Rosen, Daniel	Baylor Research Institute	Kast, W. Martin		BM Brendan Morales
3/10	RP160745-C2	Beemel, Lauren	Baylor Research Institute	Kast, W. Martin		BM Brendan Morales
3/10	RP160745-P1	Reynolds, Charles	Texas Tech University Health Sciences Center	Kast, W. Martin		BM Brendan Morales
3/10	RP160745-P2	Wheeler, David	Baylor Research Institute	Kast, W. Martin		BM Brendan Morales
3/10	RP160745-P3	Kang, Min	Texas Tech University Health Sciences Center	Kast, W. Martin		BM Brendan Morales

**SRA Approval:**

Name (PRINT):	Brendan Morales
Signature:	
Date:	3/14/16

**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**

**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160826	Fleming, Jason	The University of Texas M. D. Anderson Cancer Center	Prados, Michael	<i>Michael Prados</i>	BRM Brendan Morales
3/10	RP160843	Chang, Jenny	The Methodist Hospital Research Institute	Curran, Walter	NOT DISCUSSED	BM Brendan Morales
3/10	RP160864	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley	NOT DISCUSSED	BM Brendan Morales
3/10	RP160864-AC	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley	NOT DISCUSSED	BM Brendan Morales
3/10	RP160864-C1	Liu, Xuewu	Houston Methodist	Riddell, Stanley	NOT DISCUSSED	BM Brendan Morales

**SRA Approval:**

Name (PRINT):	Brendan Morales
Signature	<i>Brendan Morales</i>
Date	3/14/16

**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**

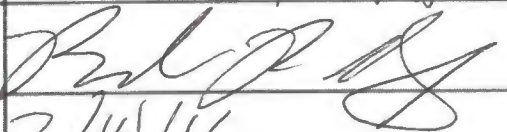
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/10	RP160864-C2	Gee, Adrian	Baylor College of Medicine	Riddell, Stanley	NOT DISCUSSED	BM Brendan Morales
3/10	RP160864-P1	Shen, Haifa	Houston Methodist	Riddell, Stanley	NOT DISCUSSED	BM Brendan Morales
3/10	RP160864-P2	Wang, Rongfu	The Methodist Hospital Research Institute	Riddell, Stanley	NOT DISCUSSED	BM Brendan Morales
3/10	RP160864-P3	Rooney, Chera	Baylor College of Medicine	Riddell, Stanley	NOT DISCUSSED	BM Brendan Morales

**SRA Approval:**

Name (PRINT)	Brendan Morales
Signature	
Date	3/14/16

**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**

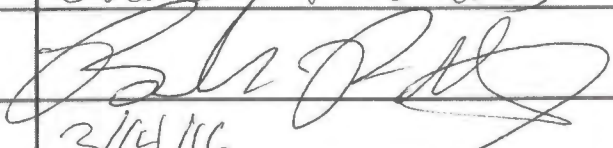
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**  
**Panel: 16.2 Clinical / Translational 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*

**SRA Approval:**

Name (PRINT):	Brenda Morales
Signature:	
Date:	3/14/16

**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**

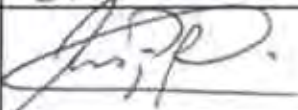

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**

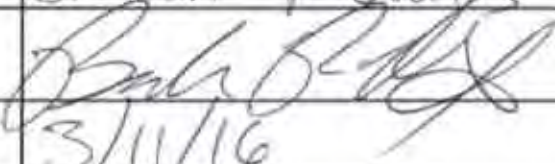
**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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*
3/11/16	RP160697	Kundra, Vikas	The University of Texas M. D. Anderson Cancer Center	Johnson, G. Allan	NOT DISCUSSED	B.M. Brendan Morales
3/11/16	RP160702	Mancini, Michael	Texas A&M University System Health Science Center	Basilion, James		B.M. Brendan Morales
3/11/16	RP160718	Betancourt, Tania	Texas State University - San Marcos	Berbeco, Russ		B.M. Brendan Morales

**SRA Approval:**

Name (PRINT):	Brendan Morales
Signature:	
Date:	3/11/16

**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**

**2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 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)	Brendan Mocalles
Signature	<i>Brendan Mocalles</i>
Date	3/14/16

**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  
2016 Cancer Prevention and Research Institute of Texas Research Programs**

**Panel: 16.2 Scientific Review Council 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*

**SRA Approval:**

Name (PRINT):	Katia E. Garcia Crespo
Signature:	<i>Katia E. Garcia Crespo</i>
Date:	03-29-16

**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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69-96



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

2016 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 16.2 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 application(s):

Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
3/9/16	RP160674	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS LIZ SPINKS
3/9/16	RP160674-AC	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS LIZ SPINKS
3/9/16	RP160674-C1	Ething, Linda	The University of Texas M. D. Anderson Cancer Center	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS LIZ SPINKS
3/9/16	RP160674-C2	Peterson, Susan	The University of Texas M. D. Anderson Cancer Center	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS LIZ SPINKS
3/9/16	RP160674-C3	Kuo, Yong-Fang	The University of Texas Medical Branch at Galveston	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS LIZ SPINKS

SRA Approval:

Name (PRINT):	LIZ SPINKS
Signature:	
Date:	3/9/16

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

2016 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 16.2 Cancer Prevention Research

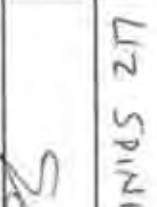
Meeting Type: Onsite Review

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*
3/9/16	RP160674-P1	Goodwin, James	The University of Texas Medical Branch at Galveston	Barlow, William	Verified Telephonically by SRA	UZ SPINKS 
3/9/16	RP160674-P2	Chiodino, Sharon	The University of Texas M. D. Anderson Cancer Center	Barlow, William	Verified Telephonically by SRA	UZ SPINKS 
3/9/16	RP160674-P3	Smith, Benjamin	The University of Texas M. D. Anderson Cancer Center	Barlow, William	Verified Telephonically by SRA	UZ SPINKS 
3/9/16	RP160674-P4	Giulagnolo, Beverly	The University of Texas M. D. Anderson Cancer Center	Barlow, William	Verified Telephonically by SRA	UZ SPINKS 
3/9/16	RP160735	Djichorami, John	The University of Texas at Austin	Barlow, William	Verified Telephonically by SRA	UZ SPINKS 

SRA Approval:

Comments:

Name (PRINT)	UZ SPINKS	
Signature		
Date	3/9/16	

\* 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

2016 Cancer Prevention and Research Institute of Texas Research Programs

Panel: 16.2 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*
3/9/16	RP160735-AC	DICHOVUNOV, John	The University of Texas at Austin	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS [Signature]
3/9/16	RP160735-C1	Chickman, Randolph	The University of Texas Health Science Center at San Antonio	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS [Signature]
3/9/16	RP160735-C2	Fazlani, Stefano	The University of Texas at Austin	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS [Signature]
3/9/16	RP160735-C3	Gatford, Jonathan	The University of Texas Health Science Center at San Antonio	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS [Signature]
3/9/16	RP160735-PI	DIGIOVANNI, John	The University of Texas at Austin	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS [Signature]

SRA Approvals:

Name (PRINT)	LIZ SPINKS
Signature:	[Signature]
Date:	3/9/16

Comments:

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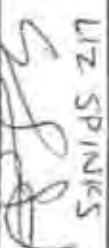


\* An SRA Representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2016 Cancer Prevention and Research Institute of Texas Research Programs**  
**Panel: 16.2 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*
3/9/16	RP160735-P2	Shiga, Thomas	The University of Texas Health Science Center at San Antonio	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS 
3/9/16	RP160735-P3	Kumar, Prasad	The University of Texas Health Science Center at San Antonio	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS 
3/9/16	RP160735-P4	Thompson, Ian	The University of Texas Health Science Center at San Antonio	Barlow, William	Verified Telephonically by SRA	LIZ SPINKS 

SRA Approval:

Name (PRINT):	LIZ SPINKS
Signature:	
Date:	3/9/16

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

2016 Cancer Prevention and Research Institute of Texas Research Programs


Panel: 16.2 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/P/D/PI Name	Applicant/P/D/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*

SRA Approval:

Name (PRINT):	LIZ SPINKS
Signature:	
Date:	3/9/14

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

### PREVENTION



**Conflicts of Interest Disclosure  
Prevention Cycle 17.1 Applications  
(Prevention Cycle 17.1 Awards Announced at February 15, 2017, 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 17.1 include *Competitive Continuation/Expansion - Evidence-Based Cancer Prevention Services; Dissemination of CPRIT-Funded Cancer Control Interventions; Evidence-Based Cancer Prevention Services; and Cancer Prevention Promotion and Navigation to Clinical 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.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
PP170023	Karen Basen-Engquist	The University of Texas M. D. Anderson Cancer Center	Eriksen, Michael
PP170046	Paula Cuccaro	The University of Texas Health Science Center at Houston	Brandt, Heather; Vanderpool, Robin
<b>Applications not considered by the PIC or Oversight Committee</b>			
PP170054*	Kentya Ford	The University of Texas at Austin	Eriksen, Michael
PP170003	Navkiran Shokar	Texas Tech University Health Sciences Center at El Paso	Eriksen, Michael
PP170049	Marcia Ory	Texas A&M University System Health Science Center	Brady, Kevin; Plescia, Marcus

\* = Not discussed

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

**Panel: FY17.1 Prevention Panel-1**

**Meeting: 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	CSRA Name/Initials*
12/5/16	PP170003	Shokar, Navkiran	Texas Tech University Health	Eriksen, Michael	<i>[Signature]</i>	Morgan Majchrzak / MM
12/5/16	PP170023	Basen-Engquist, Karen	The University of Texas M. D.	Eriksen, Michael	<i>[Signature]</i>	Morgan Majchrzak / MM
12/6/16	PP170046	Cuccaro, Paula	The University of Texas Health	Brandt, Heather	<i>[Signature]</i>	<del>Morgan Majchrzak / MM</del>
12/6/16	PP170046	Cuccaro, Paula	The University of Texas Health	Vanderpool, Robin	<i>[Signature]</i>	Morgan Majchrzak / MM
	PP170054	Ford, Kentya	The University of Texas at Austin	Eriksen, Michael		

**Comments:**

**CSRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	<i>[Signature]</i>
Date:	December 6, 2016

PP170054 was not discussed in this meeting.

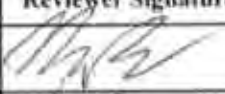
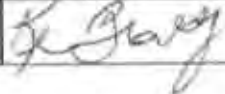
\* An CSRA representative will add their name and initials in the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application.

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

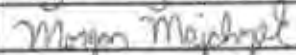
**Panel: FY17.1 Prevention Panel-2**

**Meeting: 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	CSRA Name/Initials*
12/8/16	PP170049	Ory, Marcia	Texas A&M University System Health Science Center	Plescia, Marcus		Morgan Majchrzak/MK
12/8/16	PP170049	Ory, Marcia	Texas A&M University System Health Science Center	Brady, Kevin		Morgan Majchrzak/MK

**CSRA Approval:**

<b>Name (PRINT):</b>	Morgan Majchrzak
<b>Signature:</b>	
<b>Date:</b>	December 8, 2016

**Comments:**

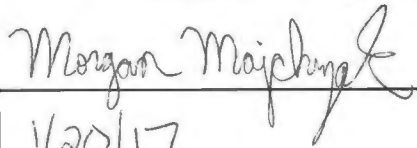
\* An CSRA representative will add their name and initials to the form to acknowledge that the reviewer identified as a Conflict of Interest has signed the form and left the panel room during the discussion of the application

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Prevention Programs**  
**Panel: Prevention Review Council FY 17.1 Programmatic Review Meeting**  
**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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	
Date:	1/20/17

**Comments:**

No COIs noted.

\* A CSRA 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.

**Conflicts of Interest Disclosure  
Prevention Cycle 17.2 Applications  
(Prevention Cycle 17.2 Awards Announced at August 16, 2017, 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 17.2 include *Evidence-Based Cancer Prevention Services*; *Colorectal Cancer Prevention Coalition*; *Tobacco Control and Lung Cancer Screening*; and *Cancer Prevention Promotion and Navigation to Clinical 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.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
PP170099	Amelie Ramirez	The University of Texas Health Science Center at San Antonio	Michael Eriksen
PP170082	Michael Pignone	The University of Texas at Austin	Marcus Plescia; Angelos Angelou
<b>Applications not considered by the PIC or Oversight Committee</b>			
PP170090	Janice Blalock	The University of Texas M. D. Anderson Cancer Center	Michael Eriksen; Ross Brownson
PP170096	Theodora Ross	The University of Texas Southwestern Medical Center	Jamie Studts
PP170141*	David Auzenne	Texas Department of State Health Services	Michael Eriksen
PP170142	David Auzenne	Texas Department of State Health Services	Michael Eriksen

\* = Not discussed

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
PP170078	Lewis Foxhall	The University of Texas M. D. Anderson Cancer Center	Kevin Brady
PP170104	Mary Tripp	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool
PP170107	Banu Arun	The University of Texas M. D. Anderson Cancer Center	Robin Vanderpool

\* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Prevention Program**

**Panel: FY17.2 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	CSRA Name/Initials*
6/1/17	PP170090	Blalock, Janice	The University of Texas M. D. Anderson Cancer Center	Brownson, Ross	<i>R. Brownson</i>	Morgan Majchrzak MM
5/31/17	PP170096	Ross, Theodora	The University of Texas Southwestern Medical Center	Studts, Jamie	<i>J. Studts</i>	Morgan Majchrzak mm
6/1/17	PP170099	Ramirez, Amelie	The University of Texas Health Science Center at San Antonio	Eriksen, Michael	<i>M. Eriksen</i>	Morgan Majchrzak mm
—	PP170141	Auzenne, David	Texas Department of State Health Services	Eriksen, Michael	not discussed	Morgan Majchrzak mm
6/1/17	PP170142	Auzenne, David	Texas Department of State Health Services	Eriksen, Michael	<i>M. Eriksen</i>	Morgan Majchrzak mm

**CSRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	<i>Morgan Majchrzak</i>
Date:	6/1/17

**Comments:**

PP170141 was not discussed during the Peer Review meeting

\* A CSRA 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.

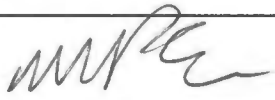
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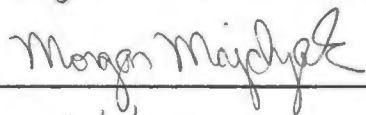
**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Prevention Program**

**Panel: FY17.2 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	CSRA Name/Initials*
6/1/17	PP170090	Blalock, Janice	The University of Texas M.D. Anderson Cancer Center	Eriksen, Michael		Morgan Majchrzak MM

**CSRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	
Date:	6/1/17

**Comments:**

Michael Eriksen declared a COI for PP170090 at the meeting.

\* A CSRA 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  
2017 Cancer Prevention and Research Institute of Texas Prevention Program**

**Panel: FY17.2 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/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	CSRA Name/Initials
6/1/17	PP170078	Foxhall, Lewis	The University of Texas M. D. Anderson Cancer Center	Brady, Kevin	<i>K Brady</i>	Morgan Majchrzak mm
6/1/17	PP170082	Pignone, Michael	The University of Texas at Austin	Plescia, Marcus	<i>M Plescia</i>	Morgan Majchrzak mm
6/2/17	PP170104	Tripp, Mary	The University of Texas M. D. Anderson Cancer Center	Vanderpool, Robin	<i>R Vanderpool</i>	Morgan Majchrzak mm
6/2/17	PP170107	Arun, Banu	The University of Texas M. D. Anderson Cancer Center	Vanderpool, Robin	<i>R Vanderpool</i>	Morgan Majchrzak mm

**CSRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	<i>Morgan Majchrzak</i>
Date:	6/2/17

**Comments:**

\* A CSRA Representative will add their name and initials to the form to acknowledge that a 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**  
**2017 Cancer Prevention and Research Institute of Texas Prevention Program**  
**Panel: FY17.2 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/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	CSRA Name/Initials

**CSRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	<i>Morgan Majchrzak</i>
Date:	6/2/17

**Comments:**

No additional COIs

\* A CSRA 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**  
**2017 Cancer Prevention and Research Institute of Texas Prevention Programs**  
**Panel: Prevention Review Council FY 17.2 Programmatic Review Meeting**  
**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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Morgan Majchrzak
Signature:	<i>Morgan Majchrzak</i>
Date:	7/6/17

**Comments:**

No COIs noted

\* A CSRA 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



**Conflicts of Interest Disclosure**  
**Product Development Research Cycle 16.2 Applications**  
**(Product Development Research Cycle 16.2 Awards Announced at November 16, 2016,**  
**Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Research Cycle 16.2 include *Company Relocation Product Development Awards* and *Texas Company Product Development Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Company</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
DP160057	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Lee, Vivian; Benny, Paul; Cipau, Gabriel; Fox, Judy; Turnbull, Colin; Williams, Grant
DP160071	Kim, Jason	Molecular Templates, Inc.	Williams, Grant; Benny, Paul; Cipau, Gabriel; Pegram, Mark; Turnbull, Colin; Gullapalli, Purnachandra
<b>Applications not considered by the PIC or Oversight Committee</b>			
DP160061	Berrondo, Monica	Macromoltek	Serrero, Ginette
DP160062	Sobol, Robert	MultiVir, Inc.	McCloskey, Richard; Benny, Paul; Cipau, Gabriel; Fox, Judy; Turnbull, Colin; Williams, Grant
DP160075	Darst, David	Rgenix, Inc.	Benny, Paul; Gullapalli, Purnachandra; Cipau, Gabriel; Fox, Judy; Pegram, Mark; Turnbull, Colin; Williams, Grant

\* = Not discussed

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Company</b>	<b>Conflict Noted</b>
DP160081	Dorius, Kirk	Pointsman Foundation	Gullapalli, Purnachandra; Cipau, Gabirel; Fox, Judy; Pegram, Mark; Turnbull, Colin
DP160065	Prudent, James	Centrose, LLC	Benny, Paul; Cipau, Gabriel; Fox, Judy; Pegram, Mark; Spector, Neil; Williams, Grant
DP160068	Gunter, Kurt	Cell Medica	Benny, Paul; Fox, Judy; Pegram, Mark; Turnbull, Colin; Williams, Grant
DP160070	Rosellini, Elizabeth	Bellomed, LLC	Benny, Paul; Gullapalli, Purnachandra
DP160072	Harel, Zeev	Convergent R.N.R Ltd.	Benny, Paul; Gullapalli, Purnachandra
DP160074	Foster, David	Tuevol Therapeutics, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160076	Unger, Evan	NuvOx Pharma	Benny, Paul; Gullapalli, Purnachandra
DP160077	Merzouk, Ahmed	Biopep Solutions, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160078	Patel, Snehal	OnVi Biopharm, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160079	Schlosser, Michael	COARE Biotechnology	Benny, Paul; Gullapalli, Purnachandra
DP160080	Wang, Rongfu	Immunova Therapeutics, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP160082	Szabo, Csaba	CBS Therapeutics Inc.	Jones, Elaine; Benny, Paul; Gullapalli, Purnachandra
DP160084	McIntyre, Peter	Flux Jet Magnetic Resonance, LLC	Benny, Paul

\* = Not discussed

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Company</b>	<b>Conflict Noted</b>
DP160085	Mohanty, Samarendra	Nanoscope Technologies	Benny, Paul; Gullapalli, Purnachandra
DP160086	Mitra, Rahul	BINAFOR	Weng, David; Benny, Paul; Gullapalli, Purnachandra
DP160087	Brooks, Robert	Aurora BioPharma, Inc.	Benny, Paul; Gullapalli, Purnachandra
DP1600063	Fiacco, Stephen	EvoRx Technologies Inc.	Geltosky, Jack

\* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2016 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 16.2 Due Diligence Panel**

**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*
10/17/16	DP160057DD	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Benny, Paul	Verified telephonically by SRA	Kelic Reece KR
10/17/16	DP160057DD	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Cipau, Gabriel	Verified telephonically by SRA	Kelic Reece KR
10/17/16	DP160057DD	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Fox, Judy	Verified by telephonically by SRA	Kelic Reece KR
10/17/16	DP160057DD	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Turnbull, Colin	Verified by telephonically by SRA	Kelic Reece KR
10/17/16	DP160057DD	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Williams, Grant	Verified by telephonically by SRA	Kelic Reece KR

**SRA Approval:**

Name (PRINT):	Kelic Reece
Signature:	<i>Kelic Reece</i>
Date:	10/17/16

**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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**Panel: 16.2 Due Diligence Panel**

**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*
10/17/16	DP160062DD	Sobol, Robert	MultiVir, Inc.	Benny, Paul	Verified telephonically by SRA	Kelie Reese KR
10/17/16	DP160062DD	Sobol, Robert	MultiVir, Inc.	Cipau, Gabriel	verified telephonically by SRA	Kelie Reese KR
10/17/16	DP160062DD	Sobol, Robert	MultiVir, Inc.	Fox, Judy	Verified telephonically by SRA	Kelie Reese KR
10/17/16	DP160062DD	Sobol, Robert	MultiVir, Inc.	Turnbull, Colin	Verified telephonically by SRA	Kelie Reese KR
10/17/16	DP160062DD	Sobol, Robert	MultiVir, Inc.	Williams, Grant	Verified telephonically by SRA	Kelie Reese KR

**SRA Approval:**

Name (PRINT):	Kelie Reese
Signature:	<i>Kelie Reese</i>
Date:	10/17/16

**Comments:**

--

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**Panel: 16.2 Due Diligence Panel**

**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*
10/17/16	DP160065DD	PRUDENT, JAMES	CENTROSE LLC	Benny, Paul	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160065DD	PRUDENT, JAMES	CENTROSE LLC	Cipau, Gabriel	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160065DD	PRUDENT, JAMES	CENTROSE LLC	Fox, Judy	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160065DD	PRUDENT, JAMES	CENTROSE LLC	Pegram, Mark	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160065DD	PRUDENT, JAMES	CENTROSE LLC	Spector, Neil	Verified telephonically by SRA	Kelie Reece KR

**SRA Approval:**

**Comments:**

Name (PRINT):	Kelie Reece
Signature:	Kelie Reece
Date:	10/17/16

--

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**Panel: 16.2 Due Diligence Panel**

**Meeting Type: Teleconference Review**

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Date	Application Number	Applicant/PD/PI Name	Applicant/PD/PI Organization	Reviewer Name	Reviewer Signature	SRA Name/Initials*
10/17/16	DP160065DD	PRUDENT, JAMES	CENTROSE LLC	Williams, Grant	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160068DD	Gunter, Kurt	Cell Medica	Benny, Paul	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160068DD	Gunter, Kurt	Cell Medica	Fox, Judy	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160068DD	Gunter, Kurt	Cell Medica	Pegram, Mark	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160068DD	Gunter, Kurt	Cell Medica	Turnbull, Colin	Verified telephonically by SRA	Kelie Reece / KR

**SRA Approval:**

**Comments:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	10/17/16

--

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2016 Cancer Prevention and Research Institute of Texas Product Development Research**

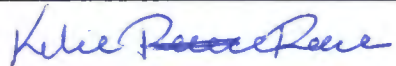
**Panel: 16.2 Due Diligence Panel**

**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*
10/17/16	DP160068DD	Gunter, Kurt	Cell Medica	Williams, Grant	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160071DD	Kim, Jason	Molecular Templates, Inc.	Benny, Paul	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160071DD	Kim, Jason	Molecular Templates, Inc.	Cipau, Gabriel	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160071DD	Kim, Jason	Molecular Templates, Inc.	Pegram, Mark	Verified telephonically by SRA	Kelie Reece / KR
10/17/16	DP160071DD	Kim, Jason	Molecular Templates, Inc.	Turnbull, Colin	Verified telephonically by SRA	Kelie Reece / KR

SRA Approval:

Comments:

Name (PRINT):	Kelie Reece
Signature:	
Date:	10/17/16

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2016 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 16.2 Due Diligence Panel  
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*
10/17/16	DP160071DD	Kim, Jason	Molecular Templates, Inc.	Williams, Grant	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160075DD	Darst, David	Rgenix, Inc.	Benny, Paul	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160075DD	Darst, David	Rgenix, Inc.	Cipau, Gabriel	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160075DD	Darst, David	Rgenix, Inc.	Fox, Judy	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160075DD	Darst, David	Rgenix, Inc.	Pegram, Mark	Verified telephonically by SRA	Kelie Reece KR

**SRA Approval:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	10/17/16

**Comments:**

--

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2016 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 16.2 Due Diligence Panel**

**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*
10/17/16	DP160075DD	Darst, David	Rgenix, Inc.	Turnbull, Colin	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160075DD	Darst, David	Rgenix, Inc.	Williams, Grant	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160081DD	Dorius, Kirk	Pointsman Foundation	Cipau, Gabriel	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160081DD	Dorius, Kirk	Pointsman Foundation	Fox, Judy	Verified telephonically by SRA	Kelie Reece KR
10/17/16	DP160081DD	Dorius, Kirk	Pointsman Foundation	Pegram, Mark	Verified telephonically by SRA	Kelie Reece KR

**SRA Approval:**

**Comments:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	10/17/16

--

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2016 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 16.2 Due Diligence Panel**

**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*
10/17/16	DP160081DD	Dorius, Kirk	Pointsman Foundation	Turnbull, Colin	Verified telephonically by SRA	Kelie Reece KR

**SRA Approval:**

**Comments:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	10/17/16

\* 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  
2016 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 16.2 Due Diligence Panel**

**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):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	10/17/16

**Comments:**

<p align="center"><i>LAST page of the report NO additional COIs</i></p>
---

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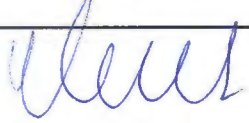
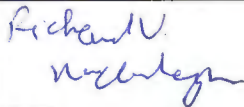

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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2016 Cancer Prevention and Research Institute of Texas Product Development**

**Panel: 16.2 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*
5/10/16	DP160057	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Lee, Vivian		AMC
5/10/16	DP160062	Sobol, Robert	MultiVir, Inc.	McCloskey, Richard		AMC 

**SRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	
Date:	5/11/16

**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**  
**2016 Cancer Prevention and Research Institute of Texas Product Development**  
**Panel: 16.2 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*

**SRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>Aaron Chumbris</i>
Date:	5/11/16


**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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**2016 Cancer Prevention and Research Institute of Texas Product Development**  
**Panel: 16.2 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*
5/12/16	DP160086	Mitra, Rahul	BINAFOR	Weng, David		AMC <del>David Weng</del>

**SRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	
Date:	5/12/16

**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**  
**2016 Cancer Prevention and Research Institute of Texas Product Development**  
**Panel: 16.2 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*
5/12/16	DPI60071	Kim, Jason	Molecular Templates, Inc.	Grant Wilkins		AMC

**SRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	
Date:	5/12/16

**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.

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2016 Cancer Prevention and Research Institute of Texas Product Development**

**Panel: 16.2 Product Development Panel-1**

**Meeting Type: Screening 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*
4/7/16	DP160057	Moseley, Annemarie	Bellicum Pharmaceuticals, Inc.	Lee, Vivian	Telephonically verified by SRA	Kelie Reece/ KR
4/7/16	DP160061	Berrondo, Monica	Macromoltek	Serrero, Ginette	Telephonically verified by SRA	Kelie Reece/ KR
4/7/16	DP160062	Sobol, Robert	MultiVir, Inc.	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece/ KR
4/7/16	DP160063	Fiacco, Stephen	EvoRx Technologies Inc.	Geltosky, Jack	Telephonically verified by SRA	Kelie Reece/ KR

**SRA Approval:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	4/7/2016

**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  
2016 Cancer Prevention and Research Institute of Texas Product Development**

**Panel: 16.2 Product Development Panel-2**

**Meeting Type: Screening 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*
4/8/16	DP160082	Szabo, Csaba	CBS Therapeutics Inc.	Jones, Elaine	telephonically verified by SRA	Kelie Reece / KR
4/8/16	DP160086	MITRA, RAHUL	BINAFOR	Weng, David	telephonically verified by SRA	Kelie Reece / KR

**SRA Approval:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	4/8/2016

**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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**Conflicts of Interest Disclosure**  
**Product Development Research Cycle 17.1 Applications**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Research Cycle 17.1 include *Company Relocation Product Development Awards* and *Texas Company Product Development Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Company/Institution</b>	<b>Conflict Noted</b>
Applications considered by the PIC and Oversight Committee			
No applications were recommended to the PIC or Oversight Committee.			
Applications not considered by the PIC or Oversight Committee			
DP170003	Pagliari, Len	Siva therapeutics Inc.	McCloskey, Richard
DP170009	Swiderek, Kristine	OncoResponse, Inc.	Geltosky, Jack
DP170008	Goldsmith, Harry	Rapamycin Holdings Inc.	McCloskey, Richard
DP170013	Confer, Ryan	Genprex, Inc.	McCloskey, Richard
DP170017	Vankayalapati, Hariprasad	Oncolexis Therapeutics Inc.	Foley, James
DP170018	Shrivastava, Sam	Venn Therapeutics, LLC	McCloskey, Richard
DP170019	McGourty, Felicity	Seremedi Inc.	McCloskey, Richard
DP170022	Chen, Changyi (Johnny)	Baylor College of Medicine	McCloskey, Richard
DP170023	Mu, Xueyan	Teamedon International, LLC	McCloskey, Richard
DP170024	Alila, Hector	Esperance Pharmaceuticals, Inc	McCloskey, Richard
DP170030	Carpenter, Ray	OriGen Biomedical, Inc.	Saxberg, Bo
DP170021	Mattila, Juha-Pekka	Kiromic, Inc.	Geltosky, Jack
DP170035	Maki, John	Vicus Therapeutics LLC	Shoemaker, David

\* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: FY17.1 Due Diligence Panel**

**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*
1/17/17	DP170009DD	Swiderek, Kristine	OncoResponse, Inc.	Geltosky, Jack	Verified telephonically by SRA	Aaron Chumbris / AC

**SRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>Aaron Chumbris</i>
Date:	1-17-17

**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  
2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: FY17.1 Due Diligence Panel**

**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):	Aaron Chumbris
Signature:	<i>Au Chi</i>
Date:	1-17-17

**Comments:**

No additional 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**  
**2017 Cancer Prevention and Research Institute of Texas Product Development Research**  
**Panel: 17.1 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*
10/25/16						

**SRA Approval:**

Name (PRINT):	Katie Reece
Signature:	<i>Katie Reece</i>
Date:	10/25/16

**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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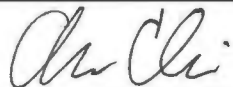
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**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Product Development Research**  
**Panel: 17.1 Product 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*
10/26/16	DP170030	Carpenter, Ray	OriGen Biomedical, Inc.	Saxberg, Bo		AMC

**SRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	
Date:	10-26-16

**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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71-23

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Product Development Research**


**Panel: 17.1 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*

**SRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	
Date:	10-27-16

**Comments:**

No additional 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**  
**2017 Cancer Prevention and Research Institute of Texas Product Development Research**  
**Panel: 17.1 Product Development Panel-1**  
**Meeting Type: Screening 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*
9/22/16	DP170003	Pagliari, Len	Siva Therapeutics Inc.	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece/ KR
9/22/16	DP170008	Goldsmith, Harry	Rapamycin Holdings Inc.	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece/ KR
9/22/16	DP170013	Confer, Ryan	Genprex, Inc.	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece/ KR
9/22/16	DP170017	Vankayalapati, Hariprasad	Oncolexis Therapeutics Inc.	Foley, James	Telephonically verified by SRA	Kelie Reece/ KR
9/22/16	DP170018	Shrivastava, Sam	Venn Therapeutics, LLC	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece/ KR

**SRA Approval:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	9/22/2016

**Comments:**

Richard McCloskey is an adhoc reviewer for 2 applications and was marked as having a COI for all other applications on the panel.

\* 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**  
**2017 Cancer Prevention and Research Institute of Texas Product Development Research**  
**Panel: 17.1 Product Development Panel-1**  
**Meeting Type: Screening 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*
9/22/16	DP170019	McGourty, Felicity	Seremedi Inc.	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece KR
9/22/16	DP170022	Chen, Changyi (Johnny)	Baylor College of Medicine	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece KR
9/22/16	DP170023	Mu, Xueyan	Teamedon International, LLC	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece KR
9/22/16	DP170024	Alila, Hector	Esperance Pharmaceuticals, Inc.	McCloskey, Richard	Telephonically verified by SRA	Kelie Reece KR

**SRA Approval:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	9/22/16

**Comments:**

Richard McCloskey is an ad hoc reviewer for 2 applications and was marked as having a COI for all other applications on the panel.
--

\* 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  
2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.1 Product Development Panel-1**

**Meeting Type: Screening 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*
9/22/16	DPI70021	Mattila, Juha-Pekka	Kiromic, Inc.	Geltosky, Jack	Telephonically verified by SRA	Kelie Reece/ KR

**SRA Approval:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	9/22/2016

**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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71-27

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Product Development Research**  
**Panel: 17.1 Product Development Panel-2**  
**Meeting Type: Screening 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*
9/23/16	DP170030	Carpenter, Ray	OriGen Biomedical, Inc.	Saxberg, Bo	telephonically verified by SRA	Kelie Reece / KR
9/23/16	DP170035	Maki, John	Vicus Therapeutics LLC	Shoemaker, David	telephonically verified by SRA	Kelie Reece / KR

**SRA Approval:**

Name (PRINT):	Kelie Reece
Signature:	<i>Kelie Reece</i>
Date:	9/23/2016

**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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71-28

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest**  
**2017 Cancer Prevention and Research Institute of Texas Product Development Research**  
**Panel: 17.1 Product Development Panel-2**  
**Meeting Type: Screening 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*

**SRA Approval:**

Name (PRINT):	Kelle Reece
Signature:	<i>Kelle Reece</i>
Date:	9/23/2016

**Comments:**

No additional 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

**Conflicts of Interest Disclosure**  
**Product Development Research Cycle 17.2 Applications**  
**(Product Development Research Cycle 17.2 Awards Announced at August 16, 2017,**  
**Oversight Committee Meeting)**

The table below lists the conflicts of interest (COIs) identified by peer reviewers, Program Integration Committee (PIC) members, and Oversight Committee members on an application-by-application basis. Applications reviewed in Product Development Research Cycle 17.2 include *Texas Company Product Development Awards* and *Company Relocation Product Development Awards*. All applications with at least one identified COI are listed below; applications with no COIs are not included. It should be noted that an individual is asked to identify COIs for only those applications that are to be considered by the individual at that particular stage in the review process. For example, Oversight Committee members identify COIs, if any, with only those applications that have been recommended for the grant awards by the PIC. COI information used for this table was collected by SRA International, CPRIT’s third party grant administrator, and by CPRIT.

<b>Application ID</b>	<b>Applicant/PI</b>	<b>Institution</b>	<b>Conflict Noted</b>
<b>Applications considered by the PIC and Oversight Committee</b>			
DP170043	Leen, Ann	ViraCyte LLC	Lee Greenberger
<b>Applications not considered by the PIC or Oversight Committee</b>			
DP170057	David Wood	ESSA Pharma, Inc.	Marcia Moore
DP170060	Sheila Burns	Building 12 Communications, LLC	Roy Cosan

\* = Not discussed

**Peer Review Certification of Non-Participant in Evaluation of Individual Applications Because of Real or Apparent Conflict of Interest  
2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 Due Diligence Panel**

**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	CSRA Name/Initials*
	DP170043DD	Leen, Ann	ViraCyte LLC	Greenberger, Lee	Telephonically verified by CSRA	AMC

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>ac</i>
Date:	7-12-17

**Comments:**

--

\* A CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 Due Diligence Panel**

**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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>Aaron Chumbris</i>
Date:	7-12-17

**Comments:**

*No Additional COIs*

\* A CSRA 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  
2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*

**CSRA Approval:**

**Comments:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>A Ch</i>
Date:	4-25-17

No COIs

\* An CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*

**CSRA Approval:**

**Comments:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>A Ch</i>
Date:	4-25-17

No COIs
---------

\* An CSRA 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  
2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>Aaron Chumbris</i>
Date:	4-26-17

**Comments:**

No COIs
---------

\* An CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>Aaron Chumbris</i>
Date:	4-26-17

**Comments:**

No COIs
---------

\* An CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*
3/28	DP170057	Wood, David C	ESSA Pharma, Inc.	Moore, Marcia	Verified telephonically by CSRA	AMC

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>Aaron Chumbris</i>
Date:	3/28/17

**Comments:**

\* A CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>ACh</i>
Date:	3/28/17

**Comments:**

No additional COIs
--------------------

\* A CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*
3/29	DP170060	Burns, Sheila	Building 12 Communications, LLC	Cosan, Roy	Verified telephonically by CSRA	AMC

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>AC</i>
Date:	3/29/17

**Comments:**

Not Discussed
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\* A CSRA 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**

**2017 Cancer Prevention and Research Institute of Texas Product Development Research**

**Panel: 17.2 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	CSRA Name/Initials*

**CSRA Approval:**

Name (PRINT):	Aaron Chumbris
Signature:	<i>Aaron Chumbris</i>
Date:	3/29/17

**Comments:**

No additional COIs
--------------------

\* A CSRA 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.

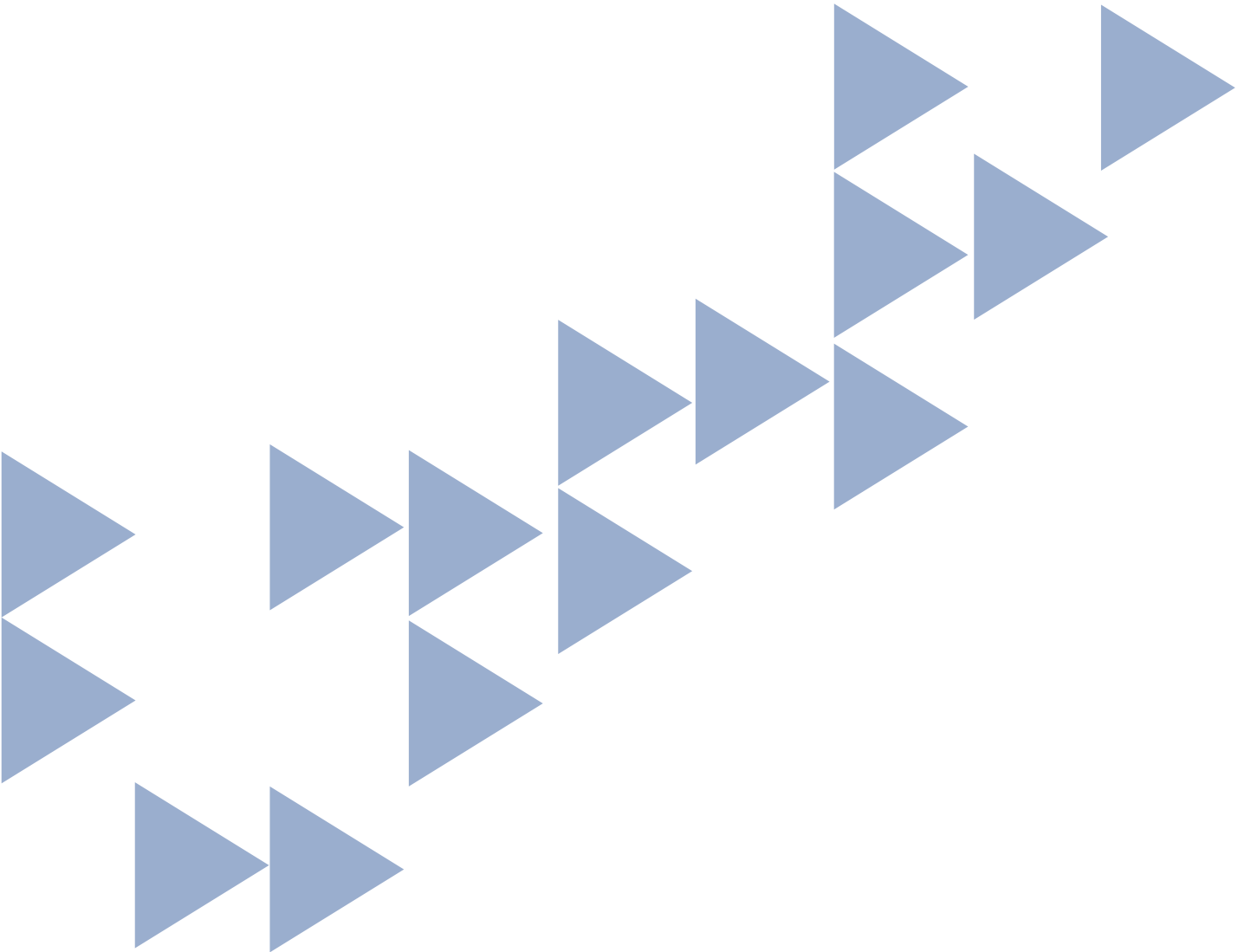
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## APPENDIX: CONFLICT OF INTEREST DOCUMENTATION

### Fiscal Year 2017 Conflict of Interest (COI) Waivers





CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

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**MEMORANDUM**

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**To:                   OVERSIGHT COMMITTEE MEMBERS**  
**From:               WAYNE ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject:           SECTION 102.1062 WAIVER—DONALD BRANDY**  
**Date:               AUGUST 11, 2016**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2017 for Mr. Donald Brandy, CPRIT’s Purchaser and HUB Coordinator, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The Oversight Committee approved the same waiver for Mr. Brandy in FY 2015 and FY 2016.

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**

Mr. Brandy serves as the agency purchaser, 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.

At the time that he was hired, 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 serves occasionally 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.<sup>1</sup>

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, 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:

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<sup>1</sup> 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)

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



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**MEMORANDUM**

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**TO:** OVERSIGHT COMMITTEE MEMBERS  
**FROM:** WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER  
**SUBJECT:** SECTION 102.1062 WAIVER – DR. BECKY GARCIA  
**DATE:** AUGUST 11, 2016

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2017 for Program Integration Committee (“PIC”) member Dr. Becky Garcia, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” Dr. Garcia was appointed to the advisory committee serving the Texas Health Improvement Network (“THIN”) in 2016. THIN is a statutorily-created program that is administratively attached to The University of Texas System. The waiver is necessary for Dr. Garcia 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. The waiver is the same as the waiver approved by the Oversight Committee for FY 2016.

**Background**

In 2015, the Legislature created the THIN with the purpose to “address urgent health care challenges and improve the health care system in this state and the nation and to develop, based on population health research, health care initiatives, policies, and best practices.” Texas Health and Safety Code § 118.051(a). By statute, THIN is administratively attached to the University of Texas System, which coordinates the program and provides administrative support. Texas Health and Safety Code § 118.054. Dr. Garcia, CPRIT Chief Prevention Officer, was appointed to serve on the advisory council that advises THIN on health care needs of Texas.

Texas Health & Safety Code § 102.106(c)(1) holds that a professional conflict of interest exists if a PIC member is a member of any committee affiliated with an entity receiving or applying to receive money from CPRIT during the same grant cycle. The University of Texas System is composed of several institutions, many of which are current CPRIT grantees, including, but not limited to, UT Southwestern Medical Center, M.D. Anderson Cancer Center, and UT Health Science Center at San Antonio. Since Dr. Garcia serves on a committee administered by a university system that includes CPRIT grantees, a professional conflict of interest arises.

CPRIT's administrative rule § 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. Garcia'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. The statute compels the Chief Prevention Officer's participation in the review process as a PIC member. In order to fulfill legislative intent that the Chief Prevention Officer serve as a PIC member, the proposed waiver should 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)(1), I recommend that Dr. Garcia be permitted to continue to perform the following activities and duties associated with CPRIT's review process subject to the stated limitations:

1. If THIN submits an application for a CPRIT grant award, Dr. Garcia must recuse herself from any discussion, review and vote related to the application.
2. If a principal investigator applying for CPRIT funds has also received funds from THIN for the same project, Dr. Garcia must recuse herself from any discussion, review and vote related to the application.

CPRIT's Chief 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. Garcia has a conflict of interest with an application that is not the conflict identified in Section 102.106(c)(1), then Dr. Garcia will follow the required notification and recusal process.



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**MEMORANDUM**

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**To:                   OVERSIGHT COMMITTEE CHAIR DR. WILLIAM RICE**  
**From:               WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject:           SECTION 102.1062 WAIVER – DR. JOHN HELLERSTEDT**  
**Date:               AUGUST 11, 2016**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2017 for Program Integration Committee (PIC) member DSHS Commissioner Dr. John Hellerstedt, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The waiver is necessary for Commissioner Hellerstedt 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. The waiver is the same as approved by the Oversight Committee for FY 2016.

**Background**

Dr. Hellerstedt was appointed Commissioner of the Department of State Health Services (DSHS) on January 1, 2016. The DSHS Commissioner is a statutorily designated member of the PIC. As a PIC member, Commissioner Hellerstedt 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.

## **Exceptional Circumstances Requiring Commissioner Hellerstedt'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 Hellerstedt'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 Hellerstedt 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 Hellerstedt 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 Hellerstedt on his own initiative in a review cycle in which DSHS is a grant applicant, the information provided by Commissioner Hellerstedt 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 Hellerstedt has a conflict of interest with an application that

is not the conflict identified in Section 102.106(c)(3), then Commissioner Hellerstedt will follow the required notification and recusal process.



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**MEMORANDUM**

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**To:                   OVERSIGHT COMMITTEE MEMBERS**  
**From:               WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject:           SECTION 102.1062 WAIVER – AMY MITCHELL**  
**Date:               AUGUST 11, 2016**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2017 for Ms. Amy Mitchell, CPRIT Oversight Committee member, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” The waiver is necessary for Ms. Mitchell 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**

Ms. Mitchell is Senior Counsel at Norton Rose Fulbright, an international law firm with 3800 attorneys. Her practice focuses on matters related to improved and unimproved real property including sales and acquisitions, leases, ground leases, subleases, real estate financing, real estate development, environmental issues affecting real property, construction matters for owners, general contractors and subcontractors, and the formation of entities to acquire, develop, finance and operate real property. Ms. Mitchell does not personally represent CPRIT grant recipients; however, some lawyers employed by Norton Rose Fulbright provide legal services to the following grant applicants and grant recipients:

- University Health System
- University of Texas at Austin, Arlington, Brownsville, Dallas, and El Paso
- University of Texas-Pan American
- University of Texas of the Permian Basin
- University of Texas Medical Branch at Galveston
- University of Texas Health Science Center at San Antonio
- University of Texas M.D. Anderson Cancer Center
- University of Texas Southwestern Medical Center
- University of Texas Health Science Center at Houston, and Tyler
- Angelo State University
- University of Houston

- University Houston-Clear Lake, Downtown, and Victoria,
- Baylor University
- Baylor College of Medicine
- Baylor Research Institute
- Methodist Hospital Research Institute
- Rice University
- Texas Tech University
- Texas Tech University Health Science Center
- Texas A&M University
- Prairie View A&M University
- Texas A&M University Commerce, Kingsville, Corpus Christi, Texarkana, Central Texas, and San Antonio
- Tarleton State University
- West Texas A&M University
- Texas A&M International University
- Texas A&M University Health Science Center
- Texas A&M University System
- Texas A&M Health Science Center
- Texas A&M Engineering Experiment Station
- Texas A&M Agrilife Extension Services
- Texas A&M Agrilife Research

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 Ms. Mitchell’s appointment to the Oversight Committee. Although Ms. Mitchell does not perform legal work for these entities or supervise anyone who does so, she has previously recused herself from participating in the grant award process related to these entities out of an abundance of caution. She does not have an economic interest in the revenues associated with these entities paid to Norton Rose Fulbright, aside from her position as Senior Counsel at the firm.

It is reasonable to expect that the same conflict will affect Ms. Mitchell’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 Ms. Mitchell'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 Ms. Mitchell's participation in the review process when she 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 Ms. Mitchell 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 Ms. Mitchell be permitted to participate in the review process for applications submitted by the following entities, subject to the limitations stated below:

- University Health System
- University of Texas at Austin, Arlington, Brownsville, Dallas, and El Paso
- University of Texas-Pan American
- University of Texas of the Permian Basin
- University of Texas Medical Branch at Galveston
- University of Texas Health Science Center at San Antonio
- University of Texas M.D. Anderson Cancer Center
- University of Texas Southwestern Medical Center
- University of Texas Health Science Center at Houston, and Tyler
- Angelo State University
- University of Houston
- University Houston-Clear Lake, Downtown, and Victoria,
- Baylor University
- Baylor College of Medicine
- Baylor Research Institute
- Methodist Hospital Research Institute
- Rice University
- Texas Tech University

- Texas Tech University Health Science Center
- Texas A&M University
- Prairie View A&M University
- Texas A&M University Commerce, Kingsville, Corpus Christi, Texarkana, Central Texas, and San Antonio
- Tarleton State University
- West Texas A&M University
- Texas A&M International University
- Texas A&M University Health Science Center
- Texas A&M University System
- Texas A&M Health Science Center
- Texas A&M Engineering Experiment Station
- Texas A&M Agrilife Extension Services
- Texas A&M Agrilife Research

**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 Ms. Mitchell 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 Ms. Mitchell 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 Ms. Mitchell is required to personally represent one of the entities listed herein or to supervise the work of someone representing the entity, she will notify the Chief Executive Officer and the presiding officer of the Oversight Committee.



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**MEMORANDUM**

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**To: OVERSIGHT COMMITTEE CHAIR DR. WILLIAM RICE**  
**From: WAYNE R. ROBERTS, CHIEF EXECUTIVE OFFICER**  
**Subject: SECTION 102.1062 WAIVER – WILL MONTGOMERY**  
**Date: AUGUST 11, 2016**

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**Waiver Request and Recommendation**

I request that the Oversight Committee approve a conflict of interest waiver for FY 2017 for Mr. Will Montgomery, CPRIT Oversight Committee member, pursuant to Health & Safety Code Section 102.1062 “Exceptional Circumstances Requiring Participation.” Mr. Montgomery’s waiver is the same as the one approved by the Oversight Committee for FY 2016. 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 applicants and 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
- UT M.D. Anderson Cancer Center
- Texas Association of Nurse Anesthetists
- University General Health system
- MHMR Tarrant County
- Texas Tech University
- UNT Health Science Center
- Baylor University

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 previously 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 the 2017 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
- UT M.D. Anderson Cancer Center
- Texas Association of Nurse Anesthetists
- University General Health system
- MHMR Tarrant County
- Texas Tech University
- UNT Health Science Center
- Baylor University

### **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.