



CANCER PREVENTION &
RESEARCH INSTITUTE OF TEXAS

INSTRUCTIONS FOR APPLICANTS

Company Commercialization Awards
RFA C-12-COMP-3

Company Formation Awards
RFA C-12-FORM-3

Company Relocation Awards
RFA C-12-RELO-3

FY 2012

Fiscal Year Award Period
September 1, 2011–August 31, 2012

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VERSION HISTORY

Rev 2/9/12 Release of Instructions for Applicants

1. INTRODUCTION

The CPRIT Application Receipt System (CARS) provides a means for the commercialization community (i.e., Applicants and Application Signing Officials [ASOs]) to respond to CPRIT funding opportunities electronically over the Internet through a secure connection. This document provides instructions and guidance to Applicants on how to successfully submit an application in response to CPRIT's Requests for Applications (RFAs) for FY12 cycle 3. Applications may be submitted from February 16, 2012, through March 15, 2012.

2. SUMMARY INSTRUCTIONS

- **User Accounts:** The Applicant and an ASO (a person authorized to sign for the organization) each will need to create user accounts in CARS. These are two different roles, and an account for each is required in order for an application to be submitted. The same person may serve as both the Applicant and the ASO; however, a separate account (with a separate user name and password) must be set up for each role. An application cannot be submitted without ASO approval.
- **Document Format for Uploaded Files:** Use Portable Document Format (PDF) only. Do NOT password-protect documents.
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point).
- **Page Format:** Single spacing, 0.75-inch margins in all directions.
- **Templates:** The template named "Commercialization Programs: Biographical Sketches," located in the *My Applications: Summary* tab or in the Current Funding Opportunities section, should be used.
- **Submission Process:**
 - The Applicant completes all sections (except for Tab 6). The system then automatically sends an e-mail forwarding the application to the ASO for review and final submission to CPRIT.
 - The application must be submitted using the ASO account on or before March 15, 2012, 3 p.m., Central Time.
- Application information saved as a draft can be edited at a later time. Once application information is finalized for ASO approval, it can be edited only after an ASO has reset the section to draft mode at the request of the Applicant.

3. APPLICATION SIGNING OFFICIAL (ASO)

The ASO is an individual authorized to submit an application on behalf of an organization. An ASO is required and must be identified by the Applicant. (The ASO role may also be filled by the Applicant using a separate account.)

As the organization's representative, the ASO is required to review the tabs finalized by the Applicant and to submit the application. Only the ASO is authorized to officially submit the application to CPRIT. The ASO can reset Applicant-finalized tabs to draft mode at the request of the Applicant.

4. GRANTS CONTRACT/OFFICE OF SPONSORED PROJECTS OFFICIAL

The Grants Contract/Office of Sponsored Projects Official is the individual who will manage the grant contract if an award is made. This role may be filled by an individual also serving as the Applicant and/or the ASO or by a separate individual. The Applicant assigns this individual to this role.

5. USER REGISTRATION

Applicants begin the application process by registering or logging in to CARS at <https://cpritrgrants.org>. New Applicants should remember to set up both an Applicant account and an ASO account at this time. On successful login to the system, the Applicant will be presented with the *My Applications* page screen shown below:



My Applications

Here you can manage your in-progress, submitted and past applications or [start a new application](#) for those programs currently accepting application submissions.

Filter Application List

Show: All Applications	<input type="radio"/> Since FY	FY 2011	With Status of:	Refresh List
Show: All My Roles	<input type="radio"/> Only For FY		<input checked="" type="checkbox"/> Draft	
			<input checked="" type="checkbox"/> Pending ASO Approval	
			<input checked="" type="checkbox"/> Pending Responsiveness Review	
			<input checked="" type="checkbox"/> ASO Approved and Submitted	
			<input type="checkbox"/> Deleted/Withdrawn	

A filtered list of your applications is displayed below. You can sort this list by clicking on any of the underlined table headings. To view all of your applications, you may need to adjust the filters in the above table and press the "Refresh List" button.

Application ID Type Title Applicant My Role Due Date Status Funding Status Actions

You do not have any applications matching this criteria. You may need to adjust the filtering options to show existing applications submitted through the system or [start a new application](#) for those programs currently accepting proposal submissions.

* Applications marked "past due" were not submitted by the deadline and can no longer be edited, approved, or submitted. We strongly recommend that you delete applications marked as "past due" in order to keep your list of active applications manageable. Past due applications will be cleaned from the database annually and will not be accessible.

Research Award Mechanisms:

IRA = Individual Investigator Research Awards
HIRR = High-Impact/High-Risk Research Awards
MIRA = Multi-Investigator Research Awards
COMP = Company Investment
RTA = Research Training Awards

Prevention Award Mechanisms:

EBP = Evidence-Based Prevention Programs and Services
HPP = Health Promotion, Public Education, and Outreach Programs
PET = Health Care Professional Education and Training
CCP = Community Collaborative Prevention Programs and Services for Breast, Cervical, and Colorectal Cancers
IAC = Innovation Awards for Cancer Prevention Programs and Services

Any previously submitted applications by the Applicant are listed on this page. After initial registration or after login, all users are encouraged to complete/verify the information under the *My Profile* link on the top left corner of this screen.

6. STARTING A NEW OR RESUBMISSION APPLICATION

6.1. Starting a New Application

New applications can be started in one of two ways:

1. My Applications (this is the default post-login page) → Start a New Application → New Application (select the RFA of interest), or
2. Funding Opportunities → FY 2012 Commercialization Programs → Start New Application (select RFA of interest) → Start New Application

Enter the title of the application (160-character limit, including spaces; can be edited later), and select the submitter role. Do NOT use symbols or special characters—these will not be transmitted correctly.

Carefully read the information on the summary page before moving on to the numbered tabs.

- Tab 1 (*Contacts*) **must** be completed/finalized before Tab 3 (*Collaborators and COIs*).
- Tab 2 (Application Information) must be completed/finalized before Tab 5 (Budget).

Other tabs may be completed in any order. Applicants must successfully complete/finalize all tabs to obtain ASO approval before the application can be successfully submitted by the ASO.

6.2. Starting a Resubmission Application

Resubmissions can be started from the *My Applications* page by clicking the *Start Resubmission Application* link of a previously not funded application.

Upon starting a resubmission application, Applicants may revise the title of the application (prepopulated from the previous submission; 160-character limit) and select the submitter role. Do NOT use symbols or special characters—these will not be transmitted correctly. Once this step is completed, Applicants will be directed to the summary page.

Note: Only the title of the previously submitted application is prepopulated for a resubmission application. All other information, including that for collaborators, and all required documents must be submitted afresh. Note that the required documents have changed from previous cycles.

Carefully read the information on the summary page before moving on to the numbered tabs.

- Tab 1 (*Contacts*) **must** be completed/finalized before Tab 3 (*Collaborators and COIs*).
- Tab 2 (Application Information) must be completed/finalized before Tab 5 (Budget).

Other tabs may be completed in any order. Applicants must successfully complete/finalize all tabs to obtain ASO approval before the application can be successfully submitted by the ASO.

6.3. Starting a Renewal Application

Please refer to Section 8.2 of the Company Commercialization RFA.

Renewals can be started from the *My Applications* page by clicking the *Start Renewal Application* link of a previously funded application.

Upon starting a renewal application, Applicants may revise the title of the application (prepopulated from the previous submission; 160-character limit) and select the submitter role. Do NOT use symbols or special characters—these will not be transmitted correctly. Once this step is completed, Applicants will be directed to the summary page.

Note: Only the title of the previously submitted application is prepopulated for a resubmission application. All other information, including that for collaborators, and all required documents must be submitted afresh. Note that the required documents have changed from previous cycles.

Carefully read the information on the summary page before moving on to the numbered tabs.

- Tab 1 (*Contacts*) **must** be completed/finalized before Tab 3 (*Collaborators and COIs*).
- Tab 2 (Application Information) must be completed/finalized before Tab 5 (Budget).

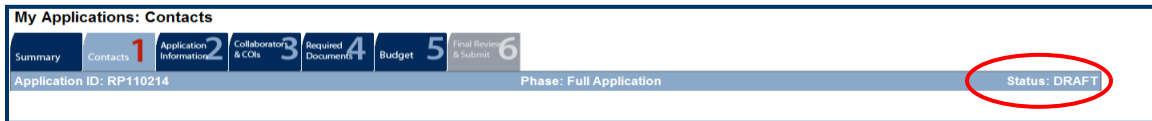
Other tabs may be completed in any order. Applicants must successfully complete/finalize all tabs to obtain ASO approval before the application can be successfully submitted by the ASO.

7. STATUS DISPLAY

7.1. Tab Status

Status	Status Definition
DRAFT	The tab is being prepared by the Applicant.
PENDING ASO APPROVAL	The tab has been finalized by the Applicant. When all tabs are finalized and reflect this status, the ASO will receive e-mail notification stating that the application can be reviewed/submitted. The Applicant is included on this notification.
ASO APPROVED AND SUBMITTED	The ASO has reviewed, approved, and submitted the application to CPRIT. Once the application has been submitted by the ASO, the Applicant is notified via e-mail.

The status of each tab is displayed under the row of numbered tabs. The figure below is an example of the status of Tab 1.



7.2. Application Status

The status displayed under the row of numbered tabs on the *Summary* tab indicates the status of the application.

8. TAB: SUMMARY

The status of each tab is also displayed on this page. Status definitions are described below.

My Applications: Summary

Summary	Contacts 1	Application Information 2	Collaborators & COIs 3	Required Documents 4	Budget 5	Final Review & Submit 6
Application ID: RP110217			Phase: Full Application			Status: DRAFT

Application Title: High-resolution imaging for cancer detection.
Program: FY 2011 Research/Commercialization Programs
Award Type: Shared Instrumentation Awards

Please be sure to verify format requirements. Applications that do not meet format requirements and/or reviewers' determination of readability may result in rejection of your application. Please check the format requirements found in the [Request for Application \(RFA\)](#).

Full Application Deadline: December 7, 2010 by 3:00 PM CT ([check current official time](#))

This application is in progress and is not ready for ASO approval. Each section outlined below must be completed, finalized, and approved by the ASO at your institution prior to the submission deadline. When all sections have been completed and set to "PENDING ASO APPROVAL", the Application Signing Official will need to approve the application submission in order for it to be forwarded for review. The table below shows the status of each section in the submission process as of October 25, 2010 3:58 PM CT.

Section #	Application Section	Status
1	Contacts	draft
2	Application Information	pending ASO approval
3	Collaborators & Conflicts of Interest	draft
4	Required Documents	draft
5	Budget	draft
6	Final Review and Submit	NOT APPROVED

Section	Status	Status Definition
	Draft	The tab is being prepared by the Applicant.
1-5	Pending ASO Approval	The tab has been finalized by the Applicant. When all tabs are finalized and reflect this status, the ASO will receive e-mail notification that the application can be reviewed/submitted. The Applicant is included on this notification.
	Not Approved	The application has not been approved/submitted by the ASO.
6	Pending	All tabs have been finalized by the Applicant and reflect the status "pending ASO approval." At this point, the application is awaiting ASO approval and subsequent submission.

Note: As stated in the preceding section, the status displayed under the row of numbered tabs on this page indicates the status of the entire application.

9. TAB 1: CONTACTS

- **Applicant:** Verify information for the Applicant; update as necessary.
- **Co-Applicant (Optional):** If desired, one Co-Applicant may be designated on the application.

To designate a Co-Applicant:

- Click the Search for Co-Applicant button.
 - Enter information, and click the Search Contacts button.
 - If the individual is listed on the subsequent search results page, that individual may be added to the application via the Add Contact link.
 - If the individual is not listed, different search criteria may be used; for example, using the last name only as well as spelling variations. Alternatively, invite the individual to register in CARS and be part of the application by clicking the Send Them an Invitation link. On the subsequent page, complete the fields, and click the Send Invitation button. When this individual joins the application as a Co-Applicant, his or her information will be listed in the appropriate section of the tab.
 - Change or remove an individual by clicking the appropriate button.
- **Alternate Submitter (Optional):** If an alternate submitter is to be designated on the application, click the *Search for Alternate Submitter* button. Follow the search guidelines above.
 - **Application Signing Official:** An ASO must be listed in order to complete/finalize this tab. Click the *Search for Application Signing Official* button. Follow the search guidelines above.
 - **Alternate Application Signing Official (Optional):** This individual can be assigned only by the ASO. Follow the search guidelines above.
 - **Grants Contract/Office of Sponsored Projects Official:** A Grants Contract/Office of Sponsored Projects Official must be listed in order to complete/finalize this tab. This individual is assigned by the Applicant.

When all information is entered, click *Finalize Contacts Section*. Note that this tab cannot be finalized until the three required fields of this section—namely, “Applicant,” “Application Signing Official,” and “Grants Contract/Office of Sponsored Projects Official”—have been completed. Applicant information is entered automatically; the ASO and Grants Contract/Office of Sponsored Projects Official are identified and added by the Applicant.

10. TAB 2: APPLICATION INFORMATION

- **Application Identification**

- **Award Mechanism:** Verify the listed award mechanism. Note that the award mechanism cannot be changed here.
- **Application Title:** Review the application title, and edit if necessary.

- **Project Information**

- **Contract Start Date:** The contract start date of September 1, 2012 is prepopulated for all applications.
- **Proposed End Date (m/d/yyyy):** Enter the proposed end date for the program (a date between 6 months and 3 years from September 1, 2012).

- **State Legislative Districts**

- **State Senate District:** Enter the State Senate district of your institution. Use the link provided to find this information using the Applicant's institutional address.
- **State House District:** Enter the State House district of your institution. Use the link provided to find this information using the Applicant's institutional address.
- Applicants not currently based in Texas should enter the State Senate and State House districts of their proposed new location.

Click the appropriate box (*Save Application Information as Draft* or *Finalize Application Information for ASO Approval*) to save entered application information.

NOTE: Application information saved as a draft can be edited at a later time. Application information finalized for ASO approval can be edited only after the ASO has reset the section to draft mode at the request of the Applicant.

11. TAB 3: COLLABORATORS AND CONFLICTS OF INTEREST

Enter information for any collaborators and/or individuals with conflicts of interest (COIs). When all information is entered, click *Finalize Collaborators and COIs*.

12. TAB 4: REQUIRED DOCUMENTS

The system will not allow upload of documents that exceed the page limits specified in the award mechanism. Do NOT password-protect documents.

Note changes to the number and descriptions of required documents in this cycle as compared to previous cycles. Applicants are advised to carefully read these instructions and the appropriate RFA.

The following abbreviations are used in the RFA section references below:

- COMP: Company Commercialization Awards
- FORM: Company Formation Awards
- RELO: Company Relocation Awards

12.1. Enter Layperson's Summary

- **RFA section references:** Sections 10.3.1 (COMP, FORM, and RELO)
- **Character limit:** 1,500 characters, including spaces
- Do NOT use symbols or special characters (e.g., Greek letters)—these will not be transmitted correctly. Save the entered information. Information must be saved before any documents are uploaded or else the abstract will be lost when the upload refreshes the web page.

12.2. Upload the Resubmission Summary (for Resubmissions Only)

- **RFA section reference:** Section 10.3.2 (COMP, FORM, and RELO)
- **Page limit:** 1 page
- When submitting a new application, an upload box for a resubmission summary will not be present.

12.3. Upload the Renewal Justification Summary (for Renewals Only)

- **RFA section reference:** Section 10.3.3 (COMP only)
- **Page limit:** 1 page
- When submitting a new application, an upload box for a renewal summary will not be present.

12.4. Upload the Executive Summary

- **RFA section reference:** Section 10.3.3 (FORM and RELO); 10.3.4 (COMP)
- **Page limit:** 1 page

12.5. Upload the Slide Presentation

- **RFA section reference:** Section 10.3.4 (FORM and RELO); 10.3.5 (COMP)
- **Page limit:** 10 pages
- The presentation should be submitted in PDF format, with one slide filling each landscape-orientation page. The slides should succinctly capture all essential elements of the application and should stand alone.

12.6. Upload the Business Plan

- **RFA section reference:** Section 10.3.5 (FORM and RELO); 10.3.6 (COMP)
- **Page limit:** 15 pages
- Applicants are advised to read the relevant RFA section carefully. Successful Applicants will make thoughtful, careful, and economical use of the limited space to address all of the required topics.

12.7. Upload the Scientific Plan

- **RFA section reference:** Section 10.3.6 (FORM and RELO); 10.3.7 (COMP)
- **Page limit:** 10 pages
- Applicants are advised to read the relevant RFA section carefully, a portion of which is copied here for emphasis: Scientific reviewers with the appropriate expertise will be chosen from a large pool of leading experts in the field to evaluate this part of the application. **The scientific plan submitted must be of sufficient depth and quality to pass rigorous scrutiny by this highly qualified group. To the extent possible, the scientific plan should be driven by data. In the past, applications that have been scored poorly by scientific reviewers have been criticized for assuming that assertions could be taken on faith. Convincing data are much preferred.**

12.8. Upload the Biographical Sketches of Key Scientific Personnel

- **RFA section reference:** Section 10.3.7 (FORM and RELO); 10.3.8 (COMP)
- **Page limit:** 8 pages
- The template named “Commercialization Programs: Biographical Sketches,” located in the *My Applications: Summary* tab, should be used. Up to 4 biographical sketches (up to 2 pages each) of key scientific personnel should be included as a combined PDF document of up to 8 pages total.

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- The following are examples of key scientific personnel: Chief Medical Officer, Senior Scientist, and Scientific Advisor. If the President and/or Chief Executive Officer have significant involvement with the scientific direction of the Company, it may be appropriate to include them as key scientific personnel.
 - The following examples are NOT key scientific personnel: Chief Operating Officer, Chief Financial Officer, Regulatory Specialist, Project Manager, and Intellectual Property Consultant. Biographical sketches for such individuals should not be included in this upload. Instead, the qualifications of key, nonscientific personnel are to be described in Section I of the business plan; see Section 10.3.6 of the RFA.

12.9. Verify and Finalize Required Documents for ASO Approval and Submission

When all information is entered, click the *Finalize Required Documents* button.

13. TAB 5: BUDGET

The budget section is composed of four subtabs that must be completed:

1. Senior/Key Person & Other Personnel
2. Detailed Budget for Year One
3. Budget for Entire Proposed Period of Performance
4. Budget Justification

Each mechanism is an up-to-3-year funding program with an opportunity for renewal after the term expires. Financial support will be awarded based upon the breadth and nature of the program proposed. While requested funds must be well justified, there is no limit on the amount that may be requested. Funding will be trached and milestone driven.

NOTE: Some or all of the following buttons appear on each subtab:

Previous = Move to the previous subtab

Next = Move to the next subtab

Save Budget as Draft = Save entered information

Finalize Budget for ASO Approval = Finalize section

The *Previous* and *Next* buttons allow the user to move between subtabs while retaining entered information for as long as the user is on the *Budget* tab. Information entered on any subtab is NOT saved until the *Save Budget as Draft* button is clicked. Moving to another tab without

saving will result in loss of any unsaved changes.

13.1. Senior/Key Person & Other Personnel

Name: The Applicant name is prepopulated. Enter names of other individuals as necessary. Additional rows will automatically appear once text is entered into the existing last row.

Role on Project: The Applicant role is prepopulated. Enter roles of other individuals as necessary.

Type Appt. (Months): For each individual listed, enter appointment type; e.g., 6-month, 9-month, 12-month appointment.

Annual Base Salary: For each individual listed, enter institutional base salary.

Effort on Project: For each individual listed, enter percent effort on the project.

Salary Requested: The individual salary cap for CPRIT awards is \$200,000; see Section 13.5, Salary Cap.

Click “Calc” to autocalculate the requested salary.

- If preferred, the salary requested may be manually entered.
- A salary of \$0 may be entered for any listed individual. In such cases, the system will display a “warning” to notify the submitter of this amount. The tab can still be finalized with warnings. However, an “error” must be addressed before a tab can be finalized.

Fringe Benefits: For each individual listed, institutional fringe benefits must be calculated based on the individual’s direct salary requested.

13.2. Detailed Budget for Year One

Provide the information requested for other direct costs in the first year of the project.

Major Equipment (400-character limit): Itemize as necessary. Equipment having a useful life of more than 1 year and an acquisition cost of \$5,000 or more per unit must be specifically approved by CPRIT if the project is funded.

Travel Costs: Include any costs associated with necessary travel. CPRIT funds may be used to send up to TWO people to CPRIT’s annual conference.

Materials, Supplies, and Consumables (800-character limit): Itemize by category.

Consultant Costs: Enter costs for consulting services that may be used during the proposed project.

Subaward/Consortium/Contractual Costs (400-character limit): List all subawards, collaborator, or contractual associated amounts. State direct costs only. Each subaward must be itemized in

the *Budget Justification* subtab by stating project costs for personnel, major equipment, materials and supplies, clinical services, and other expenses.

Research-Related Subject Costs: Enter research-related subject costs that may be incurred during the proposed project.

Other Expenses (800-character limit): Itemize other project-associated direct expenses by category.

Indirect Costs: Texas State law limits the amount of awarded funds that may be spent on indirect costs to no more than 5 percent of the total award amount (5.263 percent of the direct costs).

13.3. Budget for Entire Proposed Period of Performance

Amounts for *Budget Year One* will be autopopulated based on the information provided on the previous subtabs; namely, *Senior/Key Person & Other Personnel* and *Detailed Budget for Year One*. Cost adjustments of up to a 3-percent annual increase for salary and other categories are permitted for additional years. A 3-percent salary increase for Years 2 to 3 is permitted up to the cap of \$200,000. The salary cap (see Section 13.5) may be revised every year at CPRIT's discretion.

Estimated Revenue: Applicants should provide estimated revenue amounts and the source of estimated revenue. Estimated revenue should not be deducted from or added to the total requested budget.

Base institutional salary (full-time calendar appointment)	Effort on project	Maximum direct salary support that would be requested by the applicant
Less than \$200,000	1–100%	Up to base salary
More than \$200,000 (e.g., \$300,000)	100%	\$200,000
More than \$200,000 (e.g., \$300,000)	50%	\$100,000

14. TAB 6: FINAL REVIEW & SUBMIT

When Tabs 1 through 5 have been completed and finalized by the Applicant, the status of the application will be set to “PENDING ASO APPROVAL.” The ASO will then receive a notification e-mail to review, approve, and submit the application to CPRIT. Only the ASO is authorized to officially submit the application. The ASO should login to CARS and click the appropriate application ID number on the *My Applications* page. To submit the application, the ASO must enter his or her password and click the *Approve and Submit Application* button. The ASO will then be asked to click the *Continue* button to submit the application. After the application has been submitted, the status of the application on the *My Applications* page (and also on all tabs of that application) will be “ASO APPROVED AND SUBMITTED.” The ASO at the Applicant’s institution must submit the application by the submission deadline: March 15, 2012, 3 p.m., Central Time.

15. TEMPLATES

In FY 2012 cycle 3, one template is provided: “Commercialization Programs: Biographical Sketches.” This template is to be used only for biographical sketches of key scientific personnel (see Section 12.8).

16. FORMATTING INSTRUCTIONS

All sections of the application should be written in clear and legible text and must follow the guidelines described below. Applicants are advised to use font sizes, font faces, line spacing, page sizes, and page margins that permit easy readability of the application text. Applications that do not meet these guidelines are subject to administrative withdrawal.

Formatting guidelines for all submitted CPRIT applications are as follows:

- **Document type:** PDF
- **Language:** English
- **Font Type/Size:** Arial (11 point), Calibri (11 point), or Times New Roman (12 point)
- **Line Spacing:** Single
- **Page Size:** 8.5 x 11 inches
- **Margins:** 0.75 inch, all directions
- **Color and High-Resolution Images:** Any images, graphs, figures, and other illustrations must be submitted as part of the appropriate submitted document. It is suggested that Applicants include text to explain illustrations that may be difficult to interpret when printed in black and white.
- **Scanning Resolution:** 100 to 150 dpi
- **References:** Applicants should use the following format (list all contributing authors; official journal abbreviations may be used):
 - Smith, P.T., Doe, J., White, J.M. (2006). Elaborating on a novel mechanism for cancer progression. *Journal of Cancer Research* 135, 45-67.
- Include URLs of publications referenced in the application.
- **Headers and Footers:** Should not be used (unless they are part of a provided template).
- **Page Numbering:** Pages should be numbered; any location on the page is acceptable.

17. CONTACT INFORMATION

17.1. HelpDesk

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

Dates of operation: February 1, 2012, to March 30, 2012

Hours of operation: Monday through Friday, 7 a.m. to 4 p.m. Central Time

Tel: 866-941-7146

E-mail: CommercializationHelp@CPRITGrants.org

17.2. Commercialization Programmatic Questions

Questions regarding the CPRIT program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Commercialization Review Office.

Tel: 512-305-8484

E-mail: CommercializationHelp@CPRITGrants.org

Web site: www.cprit.state.tx.us