CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS

INSTRUCTIONS FOR APPLICANTS

Texas Company Product Development Research Awards
RFA C-20.2-TXCO

Company Relocation Product Development Research Awards
RFA C-20.2-RELCO

Seed Awards for Product Development Research
RFA C-20.2-SEED

FY 2020

Fiscal Year Award Period

September 1, 2019-August 31, 2020

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VERSION HISTORY

Rev 12/4/19 Instructions for Applicants document posted

1. INTRODUCTION

The Cancer Prevention and Research Institute of Texas (CPRIT) Application Receipt System (CARS) provides a means for the product development community (ie, applicants and Application/Authorized 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 FY20 Cycle 2. Applications may be submitted from December 4, 2019, through January 29, 2020.

2. SUMMARY INSTRUCTIONS

- **Technical Support:** Applicants are strongly advised to carefully read this document in its entirety before starting an application. The CPRIT Helpdesk (section 17.1) is available to answer technical questions and guide applicants with application submission. This *Instructions* document will be updated as necessary. Revisions will be listed in the *Revision History*.
- **System Supported Browsers and Versions:**
  - Google Chrome (Mac and Windows) 46.0.2490 and higher
  - Firefox (Mac and Windows) 41 and higher
  - Internet Explorer, versions 10 and higher

  Note: CARS is not compatible with mobile technology (eg, Surface Pro, iPad). It is recommended that applicants use a PC to complete the application submission process.

- **User Accounts:** The applicant and an ASO (a person authorized to sign for the organization) will each need to create user accounts in CARS. These are 2 different roles, and an account for each is required in order for an application to be submitted. If your company is not listed in the dropdown menu, please email the Helpdesk (contact information in section 17.1) and provide your company name; in most cases, this information will update in the system within 24 hours. 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.
  - Do NOT submit documents that are bound together in a single PDF package.
- **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:** Templates are located in in the *My Applications: Summary* tab. The application template named "Product Development Research Programs: Biographical Sketches" should be used for biographical sketches. The template named "Product Development Research Programs Capitalization Table" may be used for the capitalization table if desired.
- **Submission Process:**
  - The applicant completes all sections (except Tab 6). The system then automatically sends an email 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 January 29, 2020, 4 PM central time.
  - **Note:** CARS will be unavailable the third Thursday of each month between 7 PM and 9 PM central time for routine system maintenance.
- **Tab Finalization and Reset:**
  - Application information saved as "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 SUBMISSION DEADLINE

The application must be submitted on or before January 29, 2020, 4 PM central time.

4. APPLICATION PREPARATION AND SUBMISSION PROCESS

- The applicant completes/finalizes a series of numbered tabs of the application.
- Finalized tabs can be reset by the ASO.
- Once all tabs are finalized, the ASO reviews, approves, and submits the application to CPRIT.

5. REGISTRATION AND "MY PROFILE" SETUP

5.1. User Registration

Applicants begin the application process by registering or logging in to CARS (https://CPRITGrants.org). All users can register for an account in the *Sign In/Register* section of the home page. To register, select the *Register here* link and complete the required information. New organizations should set up both an Applicant account and an ASO account at this time. Upon successful login to the system, the applicant will be presented with the *My Applications* page screen shown below:

All 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. All profile information should be completed before a user is added to an application.

5.2. Organization Registration

If your organization does not appear in the drop-down list during registration, please contact the Helpdesk for assistance. In order to create or reactivate an organization, the Helpdesk will need the following information, which should be sent in an email to help@cpritgrants.org:

- Organization Name (exactly as you want it to appear in our system)
- EIN (Employer Identification Number)

- Organization Type (Academic or Non-Academic)
- Fiscal year end date (for example, CPRIT's fiscal year ends on 8/31/2020)
- What deadline do you need to meet?
- To which mechanism will you be applying?

If your organization does not yet have an EIN, please visit https://www.irs.gov/businesses/small-businesses-self-employed/apply-for-an-employer-identification-number-ein-online to get one. The EIN application process should take about 15-20 minutes and must be completed in a single session. The EIN will be provided immediately upon successful completion of the process.

5.3. My Profile

Profiles contain contact information for individuals and organizations. The user profile contains information that will be used to autofill some of the fields in the application.

5.4. ORCID iD

Applicants may link their Application Receipt System profiles to their ORCID iDs on an optional basis so that CPRIT can have access to the applicant's ORCID profile at the time of application submission.

Upon a user's first login in this review cycle, the user will be prompted with a modal window (seen below) announcing support for ORCID authentication with the ability to opt out of any further notifications. If the user selects "Do not show this window again," the user will not be prompted again.

As directed by the modal window displayed below, during the initial login, on the "My Profile" page, the user is displayed a description of the authentication process and is invited through an ORCID-branded link to correlate his/her CARS and ORCID profiles. Note that the system will also provide identical functionality within the "Contacts" tab of all new applications.

Upon clicking on the ORCID-branded link, the system will open a new tab on the user's browser that will direct the user to enter his/her ORCID username and password. Users without an ORCID account can initiate one from this window.

Upon a successful login to the ORCID system, the user will be directed to a modal window that explicitly requests permission from the user to share his/her public ORCID profile with CARS.

If permission to correlate the 2 accounts has been provided by the authenticated user, the system then returns the user to the page from which the authentication started (ie, either the "My Profile" page or the "Contacts" tab of a new application). The system will then display a brief message confirming the authentication and replacing the ORCID-branded link with a new button that directs the user to his/her specific ORCID profile page.

6. STARTING A NEW OR RESUBMISSION APPLICATION

6.1. Starting a New Application

New applications can be started in 1 of 2 ways:

1. My Applications (this is the default post login page) → click *Start New Application* → *FY 2020 Product Development Research Programs* → select the appropriate RFA → click *New Application* or

2. Current Funding Opportunities → click *FY 2020 Product Development Research Programs* → select the appropriate RFA → click *Start New Application*

Upon starting a new application, applicants are required to 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 (eg, Greek letters, bullets)—these will not be transmitted correctly.

Applicants are advised to 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 *(Project Personnel & Collaborators).*
- 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 unfunded application. An application previously submitted to CPRIT within the last 2 years (after December 22, 2017) but not funded may be resubmitted once and must follow all resubmission guidelines (see RFAs [RELCO/TXCO/SEED section 8.2]). **An application last submitted (including resubmission) before December 22, 2017, may be submitted as a new application, even if it was previously resubmitted.** For additional clarity regarding the 20.2 application cycle, this means that an application that was previously submitted during or before the 18.1 cycle is considered a new application. In contrast, an application that was previously submitted during or after the 18.2 cycle is considered a resubmission. It is expected that significant progress will have been made on the project; a simple revision of the prior application with editorial or technical changes is not sufficient, and applicants are advised not to submit an application with such modest changes.

- An application is considered a resubmission if the proposed project is the same project as presented in the original submission. A change in the identity of the applicant or company representative for a project that was previously submitted to CPRIT does not constitute a new application; the application would be considered a resubmission. In addition, the application is a resubmission only if the previous application was finalized and submitted; the application is not a resubmission if the previous application was left as a draft.
- 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 (eg, Greek letters, bullets)—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 the Coapplicant, collaborators, and all required documents must be submitted afresh.

<u>Carefully read the information on the summary page before moving on to the numbered tabs</u>.

- Tab 1 *(Contacts)* **must** be completed/finalized before Tab 3 *(Project Personnel & Collaborators).*
- 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

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.

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 email 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 PI is notified via email.

7.2. Application Status

The status displayed under the row of numbered tabs on the *Summary* tab indicates the status of the entire application (as indicated in the figure below—see Status: DRAFT circled in red).

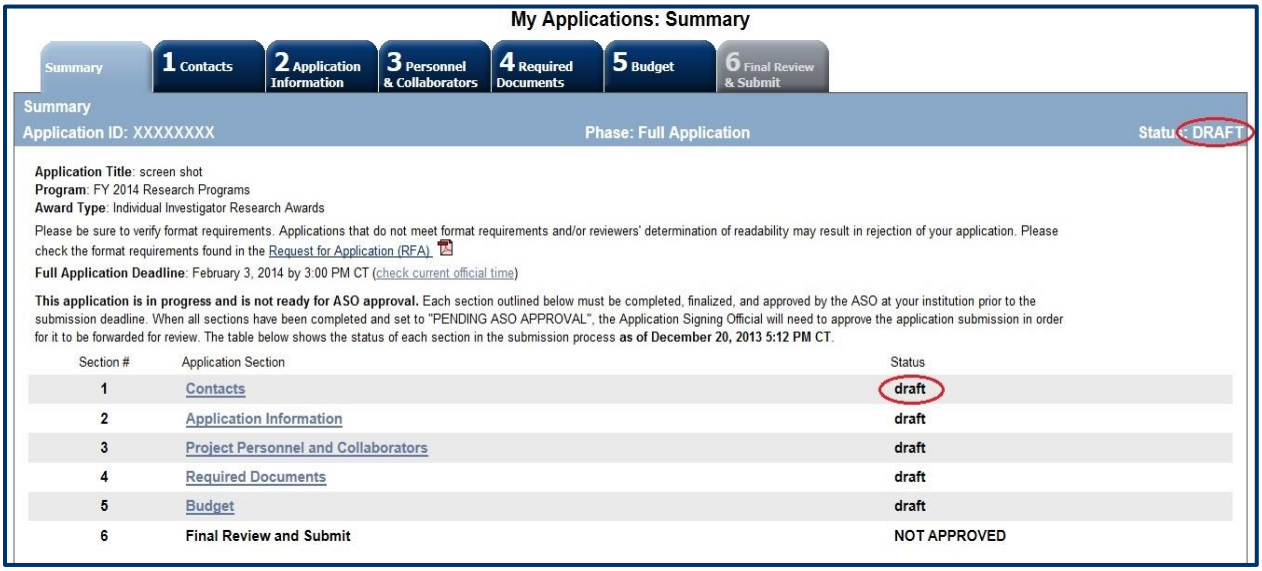
<u>Carefully read the information on the summary page before moving on to the numbered tabs.</u>

- Tab 1 (*Contacts*) must be completed/finalized before Tab 3 (*Collaborating Organizations*).
- 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.

8. TAB: SUMMARY

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



Section	Status	Status Definition
1-5	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 email notification that the application can be reviewed/submitted. The applicant is included on this notification.
6	NOT APPROVED	The application has not been approved/submitted by the ASO.
	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:** Applicant information is entered automatically; the ASO and Grants Contract/Office of Sponsored Projects Official are identified and added by the applicant. Verify information for the applicant; update as necessary.

- **Coapplicant (Optional):** If desired, 1 coapplicant may be designated on the application. For the Product Development Research program, a coapplicant is an individual designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. If so designated by the applicant organization, coapplicants share the authority and responsibility for leading and directing the project, intellectually and logistically. When 2 applicants are named, each is responsible and accountable for the proper conduct of the project, program, or activity, including the submission of all required reports. The presence of more than 1 applicant on an application or award diminishes neither the responsibility nor the accountability of any individual applicant.

  To designate a coapplicant, do the following:
  - Click the *Search for Coapplicant* 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 coapplicant, 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/Authorized Signing Official:** 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 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.

  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/Authorized Signing Official (Optional):** This individual can be assigned only by the ASO. Follow the search guidelines above.
- **Grants Contract/Office of Sponsored Projects Official:** The Grants Contract/Office of Sponsored Projects Official is the individual who will assist the ASO in managing 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.

  A Grants Contract/Office of Sponsored Projects Official must be listed in order to complete/finalize this tab. Follow the search guidelines above.

Note: For each individual on this tab, please provide a direct phone number (with extensions, if applicable) and include a cell number as an alternate phone number. Please do not include main phone numbers that require navigation through a directory menu.

After a contact is added to the application, only the assigned contact can update his or her information within the application. When all information is entered, click *Finalize Contacts Section.* Note that this tab cannot be finalized until the 3 required fields of this section—namely, "Applicant," "Application/Authorized Signing Official," and "Grants Contract/Office of Sponsored Projects Official"—have been completed.

10. TAB 2: APPLICATION INFORMATION

- **Application Identification**
  - **Award Mechanism:** Verify the listed award mechanism. Note that the award mechanism cannot be changed here.
  - **Application Type:** Verify the application type (droplist defaults to *New Application* or *Resubmission*, as applicable)
  - **Application Title:** Review the application title and edit if necessary.
- **Project Information**
  - **Contract Start Date (mm/dd/yyyy):** The contract start date of 08/31/2020 is prepopulated.
  - **Proposed End Date (mm/dd/yyyy):** Enter the proposed end date of the project (a date between 6 months and 3 years from 08/31/2020).
  - **What is the total budget for your project (enter to the nearest dollar amount)?** This should include CPRIT-requested funds and other amounts that will comprise the total budget for the project, including the use of matching funds. This number should match the dollar amount noted in the Budget Justification.
  - **Please provide a list of all projected sources of funding for this project (do not include CPRIT as a funding source).**
  - **Indicate whether you have received at least 1 round of Professional Institutional Funding (ie, Series A financing or a substantive equivalent).**
- **Application Fee**

  TXCO and RELCO applicants must submit a nonrefundable Product Development review fee of $1,000. SEED applicants must submit a nonrefundable Product Development review fee of $500. Payment should be made by check or money order payable to CPRIT; electronic payments are not accepted at this time. The application ID and applicant name must be indicated on the payment. Unless a request to submit a late application fee has been approved by CPRIT, all payments must be postmarked by the application submission deadline and mailed as described below.

Checks may be mailed via the US Postal Service to the following address:

Cancer Prevention and Research Institute of Texas
PO Box 12097
Austin, Texas 78711

Contact name: Michelle Huddleston
Phone 1-512-305-8420

Mail sent via a delivery services (ie, FedEx, UPS, etc) will need to use this address:

Cancer Prevention and Research Institute of Texas
Wm B Travis State Office Building
1701 N Congress Ave Ste 6-127
Austin, Texas 78701

Contact name: Michelle Huddleston
Phone 1-512-305-8420

- **Application Classification**
  - **Company Focus:** Select the research area that best describes the proposed work.
  - **Program Focus:** Select the focus of the proposed work.
  - **Cancer Site Addressed:** Select the cancer site(s) that will be addressed during the proposed project.
- **Vertebrate Animals:** Indicate whether vertebrate animals will be used.
- **Biologic/Anatomic Substances:** Indicate whether cadavers will be used. In addition, specify the use of human anatomical substances. If human anatomical substances will be used, specify if the substances are traceable to specific donors. Also, select applicable safety provisions.
- **Human Subjects:** Indicate whether human subjects will be used. Specify the sex, age, ethnicity, and race of the study population. Specify the method of data collection. Provide the general demographic focus. Select the type of clinical trial, if applicable.
- **State Legislative Districts**
  - **State Senate District:** Enter the state Senate district of the applicant's institution. Use the link provided to find this information using the applicant's institutional address.

- **State House District:** Enter the state House district of the applicant's 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.

- **Cancellation of Applications/Awards by Granting Organization (in past 5 years)**
  - Select whether the applicant is currently eligible to receive federal grant funds. If no, please provide the reason in the dropdown text box.
  - Select whether the applicant had an application or award terminated for cause within the last 5 years. If yes, then select the category of Application or Award. Select the Granting Organization. Enter the Award Title, Award Number, Award Amount, and the Reason for Cancellation. Click the *Add Application/Award* link to include additional applications or awards.
- **Donations:**
  - Select whether the applicant or any individual listed on the application has made a donation, gift, or grant to CPRIT, the CPRIT Foundation, the Texas Cancer Coalition, or any nonprofit organization/entity established to benefit CPRIT. If yes, then enter the name of the donor, entity name, donation amount, and date of donation. Click the *Add Donation* link to include additional donations.
- **CPRIT Priorities Addressed (from Statute or Texas Cancer Plan):**
  - Choose the CPRIT priority addressed in the application. More than 1 priority may be selected. If Choice 5 is selected, then enter the name of the research sponsor and the sponsor's priority that the application addresses.

Review the instructions and 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: PROJECT PERSONNEL & COLLABORATORS

It is your responsibility to enter information for all project personnel, paid or unpaid, including any collaborators. A collaborator is an individual who contributes to the scientific or business development or execution of the project but is not responsible for leadership or accountability for managing the project. A collaborator can be paid or unpaid. The purpose of this section is for reviewers to be able to determine if they have any conflicts of interest with any of the listed individuals, at which point they would be required to recuse themselves from the review of the application. When all information is entered, click *Finalize Project Personnel & Collaborators.*

12. TAB 4: REQUIRED DOCUMENTS

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

Applicants are advised to carefully read these instructions and the appropriate RFA.

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

- TXCO: Texas Company Product Development Research Awards
- RELCO: Company Relocation Product Development Research Awards
- SEED: Seed Awards for Product Development Research

12.1. Upload the Layperson's Summary (PDF format)

- **RFA section reference:** section 10.4.1 (TXCO, RELCO, SEED)
- **Character limit:** 1,500-character maximum, including spaces
- Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Save the entered information. Information must be saved before any documents are uploaded or the abstract will be lost when the upload refreshes the Web page.

12.2. Enter Abstract and Significance (use text box provided)

- **RFA section reference:** section 10.4.3 (TXCO, RELCO, SEED)
- **Character limit:** 5,000-character maximum, including spaces
- Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Save the entered information. Information must be saved before

any documents are uploaded or the abstract will be lost when the upload refreshes the Web page.

12.3. Enter Goals and Objectives (use text box provided)

- **RFA section reference:** section 10.4.4 (TXCO, RELCO, SEED)
- **Character limit:** 1,200-character maximum for each goal and objective, including spaces
- Goals and Objectives will be reviewed during the evaluation of annual progress reports. Do NOT use symbols or special characters (eg, Greek letters, bullets)—these will not be transmitted correctly. Save the entered information. Information must be saved before any documents are uploaded or the abstract will be lost when the upload refreshes the Web page.
    - At least 1 goal and 1 objective are required. At least 1 objective is required per goal. Up to 5 goals and 5 objectives per goal may be entered.
    - Click the *Add Objective* link to add an additional objective to a goal.
    - Click the *Add Goal* link to add an additional goal.

12.4. Upload Timeline (PDF format)

- **RFA section reference:** section 10.4.5 (TXCO, RELCO, SEED)
- **Page limit:** 1-page maximum
- Timelines will be reviewed during the evaluation of annual progress reports.

12.5. Upload the Slide Presentation (PDF format)

- **RFA section reference:** section 10.4.2 (TXCO, RELCO, SEED)
- **Page limit:** 10-page maximum
- The presentation should be submitted in PDF format, with 1 slide filling each landscape-orientated page. The slides should succinctly capture all essential elements of the application and should stand alone as a visual representation of the application.

12.6. Upload the Resubmission Summary (for Resubmissions Only; PDF format)

- **RFA section reference:** section 10.4.6 (TXCO, RELCO, SEED)
- **Page limit:** 1-page maximum

- When submitting a new application, an upload box for a resubmission summary will not be present.

12.7. Upload the Development Plan (PDF format)

- **RFA section reference:** section 10.4.7 (TXCO, RELCO, SEED)
- **Page limit:** 12-page maximum
- Applicants are advised to read the relevant RFA section carefully, a portion of which is copied here for emphasis: **The development plan submitted must be of sufficient depth and quality to pass rigorous scrutiny by the highly qualified group of reviewers. To the extent possible, the development plan should be driven by data. In the past, applications that have been scored poorly have been criticized for assuming that assertions could be taken on faith.** Convincing data are much preferred. References should be uploaded as a separate document, see below.

12.8. Upload References (PDF format)

- **RFA section reference:** section 10.4.7 (TXCO, RELCO, SEED)
- **Page limit:** None
- In the interest of brevity include only the most pertinent and current literature. While references will not count toward the Development Plan section page limit, it is essential to be concise and to select only those references relevant to the development plan. Do not use the references to circumvent Development Plan section page limits by including data, analysis, or other nonbibliographic material.

12.9. Upload the Business Plan (PDF format)

- **RFA section reference:** section 10.4.8 (TXCO, RELCO, SEED)
- **Page limits:** The business rationale overview will be a maximum of 2 pages while most other subsections will be a maximum of 1 page. However, the "Funding to Date" subsection may exceed this 1-page limit if necessary. Please note that the template named "Product Development Research Programs Capitalization Table" located in the *My Applications: Summary* tab may be used in the "Funding to Date" section if desired.

- 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.

12.10. Upload the Biographical Sketches of Key Scientific Personnel (PDF format)

- **RFA section reference:** section 10.4.9 (TXCO, RELCO, SEED)
- **Page limit:** 8-page maximum
- The template named "Product Development Research 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. Biosketches must not exceed 2 pages for any individual. If multiple biosketches are being provided, these must be combined into a single file and submitted as a single PDF document. For example, 2 key personnel would submit a single 4-page document consisting of two 2-page biosketches.
- Key personnel are the Principal Investigator/Project Director as well as other individuals who contribute to the development or the execution of the project in a substantive, measurable way. *Substantive* means they have a critical role in the overall success of the project and that their absence from the project would have a significant impact on executing the approved scope of the project. *Measurable* means that they devote a specified percentage of time to the project. The indicated time is an obligatory commitment, regardless of whether or not they request salaries or compensation. "Zero percent effort" or "TBD" or "as needed" are not acceptable levels of involvement for those designated as Key Personnel. While all participants that meet these criteria should be identified as "key," it is expected that the number of key personnel will be kept to a minimum.
- The 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 the Key Personnel section of the business plan.

12.11. Upload the Relocation Commitment to Texas (PDF format)

- **RFA section reference:** section 10.4.10 (RELCO and SEED)
- **Page limit:** 1-page maximum
- If this is a RELCO application or a SEED application from an applicant not currently based in Texas, upload a 1-page timetable with key dates indicating the applicant's plan and commitment to relocate to Texas. In addition, describe which personnel and management will be headquartered in Texas.

12.12. 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

This tab should include only the amount requested from CPRIT; do NOT include the amount of the match.

The Budget section is composed of 4 subtabs that must be completed:

1. Budget for All Project Personnel
2. Detailed Budget for Year 1
3. Budget for Entire Proposed Period of Performance
4. Budget Justification

Each award mechanism allows for up to a 3-year funding program. Financial support will be awarded based upon the breadth and nature of the program proposed. Requested funds must be well justified. Funding will be tranched 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. Amounts should be rounded to the nearest dollar—the budget forms will not accommodate decimals.

Expenses in the proposed budget must be categorized as personnel, fringe benefits, travel, equipment, supplies, contractual, other, and indirect costs. Information on the expenses associated with these budget categories and allowable costs can be found in Chapters 9 and 10 of the *CPRIT Policies and Procedures Guide*. The guide's expense classifications in each budget category carry over to the quarterly financial status report that must completed for every funded project and approved by CPRIT. If for any reason an expense is not categorized correctly in the budget of an application that becomes an approved project, that expense will have to be recategorized to conform to CPRIT's requirements and be approved in a quarterly financial status report.

13.1. Budget for All Project Personnel (use Web form provided)

Name: The applicant name is prepopulated. Provide the name, role, appointment type, percent effort, salary requested, and fringe benefits for all other personnel engaged in this project and funded by CPRIT.

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 of Appointment (Months): For each individual listed, enter appointment type (eg, 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 automatically calculate the requested salary.

- 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 1 (use text boxes/Web form provided)

Provide the information requested for other direct costs in the first year of the project. **This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project.**

Major Equipment: (400-character limit) Itemize each piece of equipment having a useful life of more than 1 year and an acquisition charge of $5,000 or more per unit that is anticipated to be purchased for use in the project. Each piece of equipment must be approved by CPRIT in the application or after the project is funded. If the project is funded, approval may be requested during the period a grant is active and will be considered on a case-by-case basis. However, any proposed equipment purchase in an application removed by a peer review panel will not be reconsidered if the project is funded.

Travel Costs: Include any costs associated with necessary travel. CPRIT funds may be used to send up to 2 people to CPRIT's annual conference. If out-of-state or overseas travel is anticipated, identify that necessity now. International travel requires approval prior to the travel occurrence through either the application or the submission of a request after a project is funded.

Materials, Supplies, and Consumables: (800-character limit) Itemize costs for research materials, consumable office supplies, and tangible equipment with a cost under $5,000.

Contractual Costs (Subaward/Service Contracts): (400-character limit) Itemize each subaward, consulting service contract, and service contract directly related to the project such as those for contract research organizations or other specialized services. For the purposes of the budget, these are all considered subcontracts. Provide direct contract costs only. Any indirect costs charged on a subcontract must be categorized as an *Indirect Cost* and are calculated in the overall 5% indirect cost limitation. Each subcontract must be itemized in the *Budget Justification*

subtab by providing project charges for personnel, travel, equipment, supplies, and other expenses.

Other Expenses: (800-character limit) Itemize other project-associated expenses such as the organization's costs for the participation of human subjects in clinicals trials or animal care charges for animal studies that will not be paid through a contractual arrangement. Funds can be used to pay for any patient care costs outlined in the RFA as well as patient participation incentive gift cards or direct paid transportation services; however, grant funds cannot be used to reimburse a patient or pay for travel expenses or other participation expenses of a patient participating in a clinical trial at this time.

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

13.3. Budget for Entire Proposed Period of Performance (use Web form provided)

This section should only include the amount requested from CPRIT; do NOT include the amount of the matching funds or the budget for the total project. Amounts for *Budget Year 1* will be automatically populated based on the information provided on the previous subtabs; namely, *Budget for All Project Personnel* and *Detailed Budget for Year 1*. Additionally, adjustments of up to a 3% increase in annual salary are permitted for Years 2 and 3 up to the cap of $200,000. The salary cap (section 13.5) may be revised at CPRIT's discretion.

13.4. Budget Justification (Use template provided)

New for FY20 – Applicants must use the provided budget justification template, available in CARS here.

Please specify your CPRIT-requested funds **and** other amounts that will comprise the total budget for the project, including the use of matching funds. Provide a brief and concise justification of the budget for the entire proposed period of support, including salaries and benefits, supplies, equipment, and other expenses. **Each subaward must itemize project costs for all cost categories.**

13.5. Salary Cap

The salary cap for CPRIT Awards in FY 2020 (September 1, 2019, through August 31, 2020) is $200,000. Note that this is the maximum that can be requested from CPRIT for any one individual annual salary; however, larger salaries can be paid as long as the difference (amount exceeding $200,000) comes from matching dollars. Thus, the maximum direct salary support that an individual can request from CPRIT is up to $200,000 of his or her salary based on percent effort on a project. In other words,

- With 100% effort on the project, individuals with a salary of less than $200,000 would request the entire salary amount.
- With 100% effort on the project, individuals with a salary of more than $200,000 would request the salary cap of $200,000.
- With 50% effort on the project, individuals with a salary of more than $200,000 would request $100,000.

The following table outlines the salary cap guidelines. Institutional fringe benefits should be calculated based on the direct salary support requested.

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 (eg, $300,000)	100%	$200,000
More than $200,000 (eg, $300,000)	50%	$100,000

14. TAB 6: FINAL REVIEW AND SUBMISSION

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 email to review, approve, and submit the application to CPRIT. Only the ASO is authorized to officially submit the application. The ASO should log in 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: January 29, 2020, 4 PM central time.

15. TEMPLATES

Three templates are provided (https://cpritgrants.org/Current_Funding_Opportunities). **New for FY20** – Applicants must use the "Product Development Research Progams Budget Justification" template for the budget justification. The "Product Development Research Programs Biographical Sketches" template may be used for the biographical sketches of key scientific personnel. The "Product Development Research Programs Capitalization Table" template may be used for the capitalization table if desired.

16. FORMATTING INSTRUCTIONS

All sections of the application should be written in clear and comprehensible 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), with the exception of reference lists, which may be provided in 8-point font to save space
- **Line Spacing:** Single
- **Page Size:** 8.5 x 11 inches
- **Margins:** 0.75 inch in 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. Color may be used in the text as well.

- **Scanning Resolution:** 100 to 150 dpi
- **The CPRIT logo may NOT be used.**
- **Reference format:** Use a citation style that includes the full name of the article and that lists at least the first 3 authors. Official journal abbreviations may be used. An example is included below; however, other citation styles meeting these parameters are also acceptable as long as the journal information is stated. Include URLs of publications referenced in the application.

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

- **Headers and Footers:** Do not apply a header. A header in the following format will be applied to the whole application after the various application components are combined:

  [Application ID] / [Company Name] / [Applicant Name] / [Page Number]
- **Page Numbering:** Add page numbers in the footer for each document that is uploaded as a PDF. Restart the page numbering at 1 for each document.
- **Cover Page:** A cover page for each application component section is automatically generated; for example, **"[Application ID], Business Plan."** Therefore, there is no need to use one of the limited number of pages for each section to create an additional cover page.

17. CONTACT INFORMATION

17.1. Helpdesk

Helpdesk support is available for questions regarding user registration and online submission of applications. Queries submitted via email will be answered within 1 business day. Helpdesk staff are not in a position to answer questions regarding scientific and commercialization aspects of applications. **For Frequently Asked Programmatic Questions, please go here and for Frequently Asked Technical Questions, please go here.**

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

Tel: 866-941-7146 (toll free in United States only)

Email: Help@CPRITGrants.org

17.2. Programmatic Questions

Questions regarding the CPRIT Program, including questions regarding this or any other funding opportunity, should be directed to the CPRIT Product Development Research Program Manager.

Tel: 512-305-7676

Email: Help@CPRITGrants.org

Website: www.cprit.texas.gov