

Arizona Disease Control Research Commission

Second Annual Report

January 2, 1987

FY 86-87

ARIZONA DISEASE CONTROL RESEARCH COMMISSION

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ARIZONA DISEASE CONTROL RESEARCH COMMISSION

Members
1986

Ex-Officio Chairman

January 1, 1986 - September 15, 1986
Lloyd F. Novick, M.D., M.P.H.
Director
Arizona Department of Health Services
1740 W. Adams, Room 407
Phoenix, Arizona 85007

September 15, 1986 - December 31, 1986
Boyd Dover
Acting Director
Arizona Department of Health Services
1740 W. Adams, Room 407
Phoenix, Arizona 85007

General Public Representatives

Peter Baird
Attorney at Law
First Interstate Bank Plaza
100 W. Washington
Phoenix, Arizona 85003

Isabel Fathauer
1915 E. Camino Miraval
Tucson, Arizona 85718

Maxine Marshall
Associate Publisher
Scottsdale Daily Progress
Box 1150
Scottsdale, Arizona 85252

Medical Community Representatives

Robert Brooks, M.D.
St. Joseph's Hospital
and Medical Center
350 W. Thomas Road
Phoenix, Arizona 85003

Herbert Abrams, M.D.
College of Medicine
Department of Family and
Community Medicine
University of Arizona
Tucson, Arizona 85724

Louis Newton, M.D.
Edwards Medical Plaza
1300 N. 12th St., Suite #612
Phoenix, Arizona 85006

Scientific Research Community
Representatives

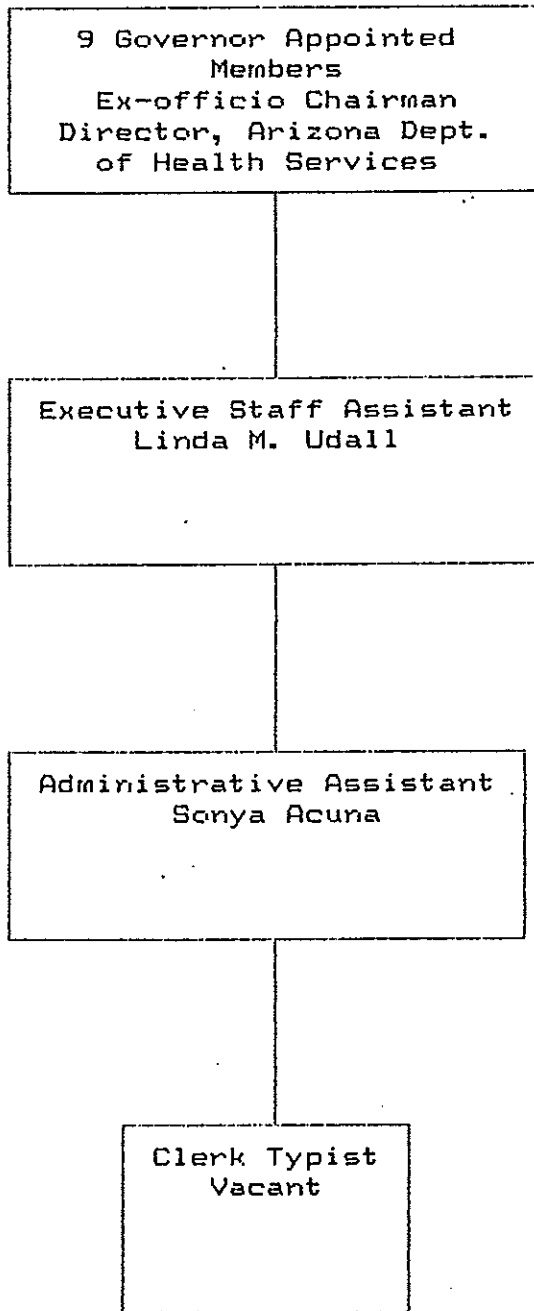
Mary J. C. Hendrix, Ph.D.
Department of Anatomy
University of Arizona
Tucson, Arizona 85724

Susan Wyckoff, Ph.D.
Physics Department
Arizona State University
Tempe, Arizona 85287

John P. Schaefer, Ph.D.
Research Corporation
6840 E. Broadway Blvd.
Tucson, Arizona 85710

ARIZONA DISEASE CONTROL RESEARCH
COMMISSION

1/2/87



ARIZONA DISEASE CONTROL RESEARCH COMMISSION

Background:

The Arizona Disease Control Research Commission (ARS-36-271 et. seq.) was established by the Arizona Legislature and signed into law by Governor Bruce Babbitt in 1984 (Appendix A). The Commission was created to advance medical research in Arizona. It is unique throughout the United States in its mission to fund Arizona investigators who are to focus on a variety of disease problems important to state residents.

The Commission has the authority to utilize monies from the Disease Control Research fund to contract for projects and services that advance research into the causes, epidemiology and/or diagnoses of diseases. The Commission can also contract for research in the formulation of cures and medically accepted treatment or prevention of disease. Prevention can include new drug discovery and development.

The Commission has ten members: three members representing the medical community, three members representing the scientific research community, three members representing the general public and the Director of the Arizona Department of Health Services who serves as ex-officio Chair of the Commission. The Commission is currently staffed by an Executive Assistant and an Administrative Assistant.

For fiscal year 1986-87, the fund received a total of \$2.27 million. In succeeding years, the fund is expected to grow to a minimum level of \$2.97 million. The Commission can also accept gifts, contributions or other monies to enhance the amount collected from delinquent taxes.

MEMBERSHIP:

Two new members joined the Arizona Disease Control Research Commission (ADCRC) this year. Dr. John P. Schaefer, Ph.D. was appointed in January by Governor Babbitt as a representative of the scientific research community. Dr. Schaefer occupied a vacancy in this component of the Commission's membership that had never been filled.

Dr. Herbert Abrams, M.D. was appointed by the Governor in February to replace Dr. Ralph Jackson, M.D. Dr. Jackson was among the original appointments to the Commission. He declined the invitation and Dr. Abrams now serves as the third representative of the medical community.

Dr. Lloyd Novick, M.D. resigned as Director of the Arizona Department of Health Services in September. Boyd Dover became the Acting Director of the Department and therefore also assumed the Chair of the Commission. Mr. Dover appointed Dr. Glyn Caldwell, M.D. as Medical Consultant to the Commission. He asked that Dr. Caldwell represent Mr. Dover in actions regarding the evaluation of proposals, etc. where a medical/public health background is needed. Dr. Caldwell currently serves as the Assistant Director of Disease Prevention Services, Arizona Department of Health Services.

ACTIVITIES OF THE COMMISSION

First Quarter

This has been a hectic second year for the ADCRC. The early part of the year was occupied with the administration of the first contracts awarded by the Commission. These contracts were written for a six month period from January 1, 1986 to June 30, 1986. Efforts toward the administration of these contracts included: negotiation of award amounts, initiating a system of reporting and accountability that was efficient and practical, and site visits of each of the twenty-four projects to which awards were given.

As contract policies and procedures were being established and tested during the first quarter of the year, the commissioners were simultaneously designing the application and review procedures for fiscal year 1986-87. The amount of money allocated to the Disease Control Research fund for 1986-87 was \$2.27 million. Approximately \$2.15 million was available for the support of research projects.

Priority areas for the submission of proposals were established based on a survey of the State's leading researchers from a variety of academic service, and research institutions.

The priority areas that were chosen were, in alphabetical order:

- Cardiovascular Disease
- Health Effects of Environmental Pollutants
- Infectious Disease
- Malignant Neoplasms (Cancer)
- Metabolic Disease
- Other

* As the decisions regarding the awards to these contractors were made in December of 1985, a complete description of the projects was incorporated in the 1985 Annual Report.

Requests for proposals (RFPs) were sent to over three hundred and fifty research scientists in March. These investigators were asked to submit their proposals by the end of April under one of the above priority areas. Additionally, they were required to submit within one of three categories;

small projects: budget limit of \$20,000, one year of support allowable

intermediate projects: budget limit of \$100,000, one to three years of support allowable

or large projects: multi-disciplinary program projects with no budget limit and one to five years of support allowable

While the RFP was developed and executed, the Commission staff conducted site visits to all of the ongoing projects. The sentiment of the research community toward the Commission was warm and appreciative. All of the researchers who received funding from the Commission and many of those who applied but did not receive funding, applauded the State's efforts to support this very valuable medical work.

Concurrently, expert peer reviewers from around the United States (excluding Arizona) were recruited to evaluate the new proposals submitted to the Commission. These reviewers were selected from National Institutes of Health Advisory Groups that review research proposals submitted to the federal government.

Second Quarter

The second quarter of this year involved a significant time commitment on the part of the commissioners. Progress reports from the ongoing projects were scrutinized by all of the members. Expenditure reports were also submitted and reviewed.

The Commission decided to publish a brochure describing the agency's purpose and policies. The process of producing this brochure was initiated in April and completed in December.

The last week in April, one hundred fifty-six applications were submitted under the RFP. A total of over eight million dollars in funding was requested in these applications. A description of the applications submitted is included as Appendix B. Seventy-eight percent of the proposals were submitted from the three State universities. The majority of applicants submitted under the priority area of malignant neoplasms (cancer). Cardiovascular and infectious disease-related proposals were the second most common submissions. Applications in the area of pulmonary disease constituted seven percent of the total.

The review process for this funding cycle was instituted immediately. The Commission divided into three subcommittees consisting of one member from each of the three constituency groups. Each subcommittee scrutinized one third of the proposals for relevance to the priority areas, statutory relevance, and merit based on a lay summary of the goals and objectives. The subcommittees recommended that all but seven of the large and intermediate proposals be sent to peer review.

Every small project was discussed by the entire Commission and ranked according to the criteria listed in the RFP. Proposals were discussed and ranked by priority area. Projects that fell in the top third of the group were subject to an individual review by one of the Commissioners with knowledge of the subject area. These evaluations were discussed by the entire Commission and decisions were made regarding awards.

The evaluations that were returned by the peer reviewers were carefully considered by the full Commission. Decisions regarding funding were based on discussions by the Commission of the peer review comments and the rankings from the subcommittees. Award amounts were established according to the availability of funds and a review of budget requests by Commission staff. Suggested award amounts were approved by the Commission prior to the announcement of awards.

Final decisions regarding funding awards were made on June 20, 1986. A description of the proposals funded is incorporated as Appendix C. Of the one hundred and fifty-six proposals submitted, thirty-seven received awards totaling \$2.15 million. Over one million dollars was allocated to cancer research. This figure may be misleading as it incorporates two individual contracts - The University of Arizona, Arizona Cancer Center and Arizona State University, Cancer Research Institute - that totaled \$890,000.

The largest number of funded projects were also in the area of cancer. Infectious disease-related projects were second in terms of numbers of awards received. As expected by the proportion of applications submitted, thirty two (88%) of the projects funded were from State universities. The remaining awards were made to two county health departments and two private non-profit institutions. Fifteen of these awards are for one year only. The remainder are potentially renewable.

The types of projects receiving funds this year covered a broad spectrum of medical research. The titles of the thirty seven awards given are listed, with award amounts, in Appendix D. Examples of some of the projects included: Two different investigators are experimenting with the production of anticancer drugs from plants and marine animals. One award supported the establishment of an information and referral program for physicians and patients regarding environmental substances that may harm unborn babies. Three different approaches to the problem of infectious enteric diseases, a large cause of morbidity in Arizona, were supported. Research regarding cancer, heart disease, and AIDS was funded both from a basic science perspective and a prevention/education perspective.

Third Quarter

The third quarter of this year was occupied with writing and executing the contracts for the awards made in June. Concurrently, two subcommittees were established to begin the design of the RFP and review processes for fiscal year 1987-88.

One of these subcommittees (Schaefer, Fathauer, Newton) was charged with establishing recommended budgets for eighteen of the just-funded projects that could be considered for renewal in 1987-88. This was done and the amounts approved by the entire Commission. These tentative award amounts were made so as to benefit both the Commission in determining funds available to new projects in 1987-88 and the researchers in planning the course of their work. The awards suggested to these investigators are contingent on approval of a project for renewal and negotiations prior to the execution of a new contract.

The second subcommittee (Abrams, Hendrix, Wyckoff) was charged with the design of the RFP for fiscal year 987-88. This responsibility required making recommendations to the entire Commission regarding priority areas for the applications, the review process, and other stipulations of the application. The Commission approved the suggestions of the subcommittee which were as follows:

1. Priority areas for the 987-88 RFP:

Cardiovascular and Other Circulatory Diseases/Disorders
Health Effects of Environmental Pollutants
Health Promotion and Disease Prevention
Infectious and Immunologic Diseases/Disorders
Malignant Neoplasms
Metabolic and Endocrine Disorders
Neurologic, Mental, and Behavioral Diseases/Disorders
Respiratory Disease

2. Applicants must submit in one of the following categories:

Category I: This category is limited to total budget requests of no more than \$25,000 per year. Applicants may request no more than three years of support. It is expected that these projects will be designed as pilot research that will elicit further extramural support, and encourage new investigators, and/or as research with a limited scope.

Category II: This category is designed for multi-disciplinary program projects. Multiple investigators should be working on varied components with distinct objectives that contribute to a common goal for all. Applicants may submit for no less than two and no more than three years of support.

3. The review process for these applications:

- Commission staff will evaluate the applications for compliance with the RFP
- projects in both categories will be peer reviewed by experts residing outside of Arizona
- three subcommittees of the Commission will evaluate the staff and peer review comments
- the entire Commission will consider the recommendations and critiques of staff, peer reviewers, and subcommittees to make funding decisions.

During this time the Commission also decided that contractors who are eligible for renewal this year will be asked to submit an application for competitive renewal. It will be evaluated along with the investigator's progress report, expenditure reports, and potentially a site visit report to determine if the contract will be renewed. Site visits will be conducted at the discretion of staff for all ongoing projects excluding those with awards of \$100,000 or more. The three investigators with these large awards, Drs. Salmon, Pettit and Galgiani will be asked to present their research findings and proposed research plans to the Commission, in person, in March, 1987.

Fourth Quarter

The period from October through December has been equally challenging. The majority of the efforts have been directed toward the coordination and organization of the application and review process for fiscal year 1987-88. Examples of some of these efforts are:

- The RFP for 1987-88 was mailed to over 500 investigators in October. These are to be returned to the Commission in late January when the review process will begin.

- The applications for competitive renewal were sent to the contractors with renewable projects and are due back in February for review.

- Letters have been sent to over six hundred medical and scientific experts around the country requesting their participation as peer reviewers for the Commission.

- Publication of the first Disease Control Research Commission brochure was completed in December.

Summary

The ADCRC has made significant progress in responding to the statutory charge of establishing an efficient and practical process for funding medical research. Setting the policies and designing the procedures for this agency has been a true challenge. The members of the Commission have tried to be responsive to the research community in creating a method of contracting for medical research that is workable. Now into our third year, it is apparent that every funding cycle will demand dynamic thinking and originality on the part of the commissioners to meet the needs of the research community and address the changes in disease problems affecting our state. With the amount of Federal Dollars allocated to scientific and medical research decreasing each year, the commitment of the State to supporting the Commission's work is invaluable.

ARIZONA DISEASE CONTROL RESEARCH COMMISSION
1986-87 Applications

PROPOSALS SUBMITTED:

TOTAL = 156

<u>CATEGORY</u>	<u># SUBMITTED</u>	<u>% OF TOTAL SUBMISSIONS</u>
Intermediate	80	51
Small	61	39
Large	<u>15</u>	<u>10</u>
TOTAL	156	100

<u>PRIORITY AREA</u>	sm. med. lg.	<u># SUBMITTED</u>	<u>% OF TOTAL SUBMISSIONS</u>
Cancer	13 20 3	36	23
Cardiovascular disease	9 17 4	30	19
Infectious disease	12 13 4	29	19
Metabolic disorders	6 13 0	19	12
"Other"	13 4 0	17	11
Health Effects of Environmental Pollutants	4 7 3	14	9
Pulmonary disease	4 6 1	<u>11</u>	<u>7</u>
TOTAL		156	100

	<u># SUBMITTED</u>	<u>% OF TOTAL SUBMISSIONS</u>
University of Arizona	97	62
"Other"	23	15
Arizona State University	20	13
Northern Arizona University	5	3
Barrow's Neurological Institute	<u>11</u>	<u>7</u>
TOTAL	156	100

Total amount requested this year: \$8,689,027.00

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ARIZONA DISEASE CONTROL RESEARCH
1986-87 AWARDS

Total Number of Awards: 37

<u>CATEGORY</u>	<u># OF AWARDS</u>	<u>% OF TOTAL AWARDS</u>
Intermediate	20	54
Small	13	35
	<u>4</u>	<u>11</u>
TOTAL	37	100

<u>PRIORITY AREAS</u>	<u># OF AWARDS</u>	<u>% OF TOTAL AWARDS</u>
Cancer	13	35
Infectious Disease	9	24
Metabolic Diseases	4	11
"Other"	4	11
Cardiovascular diseases	3	8
Environment-related	3	8
Pulmonary disease	<u>1</u>	<u>3</u>
TOTAL	37	100

<u>INSTITUTION</u>	<u># OF AWARDS</u>	<u>% OF TOTAL AWARDS</u>
University of Arizona	23	60
Arizona State University	8	22
Northern Arizona University	1	6 3%
Barrow Neurological Institute	2	5 6%
Pima County Health Department	1	3
Maricopa County Health Department	1	3
Samaritan Medical Foundation	<u>1</u>	<u>3</u>
TOTAL	37	100

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1986-87 AWARDS (CONTINUED)

<u>PRIORITY AREA</u>	<u>TOTAL AMOUNT AWARDED % OF GRAND TOTAL</u>	
Cancer	\$ 1,233,936.00	57.0
Infectious Disease	400,879.00	19.0
Metabolic Disease	178,539.00	8.0
Cardiovascular Disease	144,768.00	7.0
Environment-Related	82,594.00	4.0
"Other"	72,398.00	3.0
Pulmonary Disease	<u>44,757.00</u>	<u>2.0</u>
GRAND TOTAL	\$ 2,157,871.00	100

<u>INSTITUTION</u>	<u>TOTAL AMOUNT AWARDED % OF GRAND TOTAL</u>	
University of Arizona	\$ 1,605,850.00	74.0
Arizona State University	339,792.00	16.0
Northern Arizona University	42,941.00	2.0
Maricopa County Health Dept.	52,866.00	2.0
Pima County Health Dept.	43,296.00	2.0
Samaritan Medical Foundation	35,201.00	2.0
St. Joseph's Hospital and Medical Center; Barrow Neurological Institute	37,925.00	2.0
GRAND TOTAL	<u>\$ 2,157,871</u>	<u>100</u>

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