



Performance Audit Report

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Performance Audit Review



- **Initially presented May 2012 to the Governing Board.**
- **Found to be in full compliance.**
- **12 Tier 1 Recommendations.**
- **Status update given February 2013 to the CFAOC.**

- **Report available at**

http://www.cirm.ca.gov/files/PDFs/Publications/CIRM_Performance_Audit.pdf



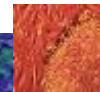
Performance Audit Updates

- **12 Tier 1 Recommendations**
 - **Completed all 12 Tier 1 Recommendations**
 - Obtain required Invention Disclosure Forms and Invention Utilization Reports in a consistent manner - **created form on the GMS to gather the relevant IP information online from grantees in a consistent manner.**
 - Ensure the Grants Management System (GMS) IP Module specifications for Phase 1 include specific questions about commercialization activity-**GMS IP Module includes commercialization activity.**



Performance Audit Updates

- **12 Tier 1 Recommendations**
 - **Completed all 12 Tier 1 Recommendations**
 - Develop a communication plan and comprehensive, results-based annual report, and use the annual report as a cornerstone for external communications-
Developed a Communications Strategy in 2013.
 - Amend policies to make completion of the grant outcome survey a requirement of the grant closeout process.-**Mandatory Grant Outcome Closeout Survey added to GMS.**



Performance Audit Updates

- **24 Recommendations**

- **Tier 1**

- Develop a detailed plan for completing development of the GMS, and provide ongoing project oversight-**Incorporated milestones in project management software.**
- Build upon existing procedures and tools that CIRM has implemented to strengthen bond forecasting and further streamline and integrate the bond forecasting process-**Bond forecasting procedures implemented.**
- Build upon current efforts to develop a grants outcome tracking database by creating a digital dashboard and enhanced annual performance report to provide CIRM leadership and other stakeholders with core performance information-**Digital Dashboard is in use.**



Performance Audit Updates

- **24 Recommendations**

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- Ensure that the required information to document adherence to the procurement policies is retained in a procurement file maintained by the Contracts Administrator-**Central location for procurement documentation completed.**
- Reevaluate staffing levels if administrative and implementation costs are forecasted to exceed 6% of bond proceeds-**Monitor 6% administrative cap with the use of modeling and evaluation of staffing and resource needs.**



Performance Audit Updates

- **24 Recommendations**

- **Tier 1**

- Implement policies, procedures, and resources to achieve timely review of progress reports, since the review of progress reports is an integral part of understanding the scientific progress being made by grantees-**Accelerate Progress Report Review with online access.**
- Implement a document management system. **Docushare, document Management System implemented.**
- Acquire and implement human resource forecasting software- **Customized HR Forecasting Model created and four staff trained on it.**

