



CFAOC Meeting

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CFAOC Meeting

Los Angeles, CA



Performance Audit Review

CALIFORNIA INSTITUTE FOR REGENERATIVE MEDICINE

- **2010 California Senate Bill 1064 mandates that CIRM commission a performance audit every three years.**
- **Moss Adams presented 2010/2011 audit results at the May 2012 ICOC Board meeting.**
- **Found to be in full compliance.**
- **24 Recommendations for improved performance.**
- **Goal to complete all recommendations by 6/30/13.**



Performance Audit Updates

CALIFORNIA INSTITUTE FOR REGENERATIVE MEDICINE

- **24 Recommendations**
 - **13 Completed**
 - **Tier 1**
 - **Grants Management System (GMS) IP module released to obtain required Invention Disclosure Forms and Invention Utilization Reports.**
 - » **GMS IP module released October 2012 to gather data from grantees. This allowed CIRM to gather the full set of information in a more consistent manner from the Technology Transfer offices.**
 - **GMS IP Module includes specific questions about commercialization activity.**



Performance Audit Updates

CALIFORNIA INSTITUTE FOR REGENERATIVE MEDICINE

- **24 Recommendations**

- **13 Completed**

- **Tier 1**

- **Develop a Communications Plan**

- » **Completed February 2013. The priorities set in the plan provide a better use of staff resources to focus on building stronger, more direct ties to the patient community by bringing that work in-house. The annual report was redesigned at a lower cost and geared to a wider audience. The website has become more viewer/reader friendly.**



Performance Audit Updates

CALIFORNIA INSTITUTE FOR REGENERATIVE MEDICINE

- **24 Recommendations**
 - **13 Completed**
 - **Tier 1**
 - **Mandatory Grant Outcome Closeout Survey**
 - » **November 2012 Office of Administrative Law approved change to Grants Administration Policy (GAP) to require Grant Outcome Closeout Survey.**
 - **Grants Management Plan (GMS) and oversight**
 - » **January 2013 GMS Plan is complete by incorporating milestones and requirements in project management software, Mingle.**
 - » **Oversight of milestones and requirements is ongoing.**



Performance Audit Updates

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- **24 Recommendations**
 - **13 Completed**
 - **Tier 1**
 - **Bond Forecasting Procedures**
 - » **Use of single reference file which is updated regularly by the Bond Finance unit and Science Office and has increased efficiency of staff workflow. Also, enhances strategic cash flow forecasting for the Institute.**
 - **Central location for Procurement Documentation**
 - » **Completed May 2012 with approval checklist modified to ensure the required information is retained in a procured file maintained by the Contracts Administrator.**



Performance Audit Updates

CALIFORNIA INSTITUTE FOR REGENERATIVE MEDICINE

- **24 Recommendations**
 - **13 Completed**
 - **Tier 2**
 - **State Controller's Office System access**
 - » **Completed July 2012 with limited secure access to fiscal information.**
 - **Business Development Plan**
 - » **Formal Plan developed that addresses CIRM's strategic goals to engage with industry and presented to ICOC Board on 12/12/12.**



Performance Audit Updates

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- **24 Recommendations**
 - **13 Completed**
 - **Tier 2**
 - **Website Plan**
 - » **The new website has launched and is integrated with the Grants Management System (GMS). The GMS provides automatic updates to the CIRM website about new applications, funding, and progress reporting. These automated features save several days per month of staff time and will provide the public with more accurate, timely and comprehensive information.**



Performance Audit Updates

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- **24 Recommendations**
 - **13 Completed**
 - **Tier 3**
 - **Formal Onboarding program**
 - » **Management program completed in November 2012 to integrate new employees faster with orientation information including, but not limited to; CIRM's culture; mission and job specific expectations; assignment of mentor/buddy; and connection with key people in each interrelated unit.**



Performance Audit Updates

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- **24 Recommendations**
 - **13 Completed**
 - **Tier 3**
 - **ICOC Board Code of Conduct**
 - » **Adopted by ICOC Board on 5/24/2012.**
 - **Evaluate COI Check redundancies**
 - » **Forms to collect COI, confidentiality and financial disclosure information from Grants Working Group examined and streamlined.**



Performance Audit Updates

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- **24 Recommendations**
 - **11 In Process**
 - **Tier 1**
 - **Digital Dashboard**
 - » **GMS contains all the data related to scientific/disease/outcome coding to allow for implementation of a dashboard.**
 - **Document Management System**
 - » **In contract to purchase a document management system including professional services and implementation. Project will begin immediately.**



Performance Audit Updates

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- **24 Recommendations**

- **11 In Process**

- **Tier 1**

- **HR Forecasting Model**

- » **Actively working with consulting firm to create a model to project staffing needs in the Science Office and generate efficiencies.**

- **Monitor use of 6%**

- » **CIRM closely monitors its administrative expenditures to ensure that it remains within its administrative cap. This process includes modeling and evaluation of staffing and resource needs to ensure that CIRM will have sufficient administrative resources to carry out its mission in the absence of additional funding.**



Performance Audit Updates

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- **24 Recommendations**
 - **11 In Process**
 - **Tier 1**
 - **Accelerate Progress Report Review**
 - » **Implemented online progress review checklist. Added scientific staff and re-directed staff activities to address high workload areas.**



Performance Audit Updates

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- **24 Recommendations**
 - **11 In Process**
 - **Tier 2**
 - **Finance Workflow database**
 - » **Discussing functionality and pricing with a vendor for non-grant contracts and purchase orders.**



Performance Audit Updates

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- **24 Recommendations**
 - **11 In Process**
 - **Tier 2**
 - **OOC/OOP Cooperation**
 - » **OOC and OOP are improving communications across both offices when discussing important policies and plans for the Institute.**



Performance Audit Updates

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- **24 Recommendations**
 - **11 In Process**
 - **Tier 2**
 - **Streamline Standing Meetings**
 - » **Collecting staff input and changes to be rolled out in March.**
 - **Science Office Prioritization**
 - » **Streamlined pre-application review. Reduced staff workload for presentation to the Board for funding recommendations. Implemented electronic scorebook for Grants Working Group.**



Performance Audit Updates

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- **24 Recommendations**
 - **11 In Process**
 - **Tier 2**
 - **IT Plan**
 - » **Development of a comprehensive IT Plan is in progress.**



Performance Audit Updates

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- **24 Recommendations**
 - **11 In Process**
 - **Tier 3**
 - **Address Recruitment and Retention in Transition Plan**
 - » **Evaluating existing and future staffing needs and determining which job duties will be required to carry out CIRM's mission based on timelines contemplating both (1) no additional funding; and (2) additional funding (with differing scenarios depending on how much additional funding is available).**

