

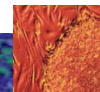
Performance Audit Report

Alexandra Campe Degg
ICOC Meeting – July 25, 2013
Agenda Item #15

Performance Audit Review

- **Initially presented at May 2012 meeting.**
- **Found to be in full compliance.**
- **24 Recommendations for improved performance**
- **Status update given at December 2012 ICOC meeting.**
- **Presented to the CFAOC meeting in February 2013 of progress toward completing all 24 recommendations.**
- **Report available at**

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



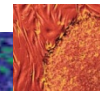
Performance Audit Updates

- **24 Recommendations**

- **12 completed of 12 Tier 1 Recommendations**

- **Tier 1**

- **Grants Management System (GMS) IP module released to obtain required Invention Disclosure Forms and Invention Utilization Reports.**
 - **GMS IP Module includes specific questions about commercialization activity.**
 - **Develop a Communications Plan- sets the priorities to 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.**
 - **Mandatory Grant Outcome Closeout Survey- Office of Administrative Law approved change to (GAP) to require Grant Survey.**

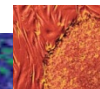


Performance Audit Updates

- **24 Recommendations**

- **Tier 1**

- **Grants Management Plan (GMS) and oversight is complete by incorporating milestones and requirements in project management software, Mingle and oversight of milestones and requirements is ongoing.**
- **Bond Forecasting Procedures use of single reference file which is updated regularly by the Bond Finance unit and Science Office has increased efficiency of staff workflow.**

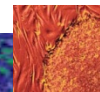


Performance Audit Updates

- **24 Recommendations**

- **Tier 1**

- **Digital Dashboard- GMS contains all the data related to scientific/disease/outcome coding to allow for the live dashboard.**
- **Central location for Procurement Documentation-Approval checklist modified to ensure the required information is retained in a procured file maintained by the Contracts Administrator.**
- **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

- **24 Recommendations**

- **Tier 1**

- **Accelerate Progress Report Review- Electronic functionality for online access for grantees, GM staff and Science Officers of progress reports, implemented online progress review checklist, added scientific staff and re-directed staff activities to address high workload areas.**
- **Document Management System-Implementation with vendor the week of June 24, 2013.**
- **HR Forecasting Model-Model created by Highlands Consulting and four staff trained on it.**



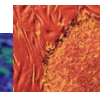
Performance Audit Updates

- **24 Recommendations**

- **6 Completed of 8 Tier 2 Recommendations**

- **Tier 2**

- **OOO/OOP Cooperation-OOO and OOP are improving communications across both offices when discussing important policies and plans for the Institute.**
 - **Streamline Standing Meetings-Decreased number of staff wide meetings with more emphasis on topics that relate to strategic plan.**
 - **State Controller's Office System access- Completed with limited secure access to fiscal information.**



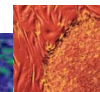
Performance Audit Updates

- **24 Recommendations**

- **6 Completed of 8 Tier 2 Recommendations**

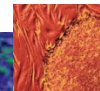
- **Tier 2**

- **Business Development Plan- Formal Plan developed that addresses CIRM's strategic goals to engage with industry.**
- **Website Plan-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.**
- **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.**



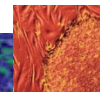
Performance Audit Updates

- **24 Recommendations**
 - **4 Completed of 4 Tier 3 Recommendations**
 - **Tier 3**
 - **Formal Onboarding program - Management program completed 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.**
 - **ICOC Board Code of Conduct- Adopted by ICOC Board in 2012.**



Performance Audit Updates

- **24 Recommendations**
 - **4 Completed of 4 Tier 3 Recommendations**
 - **Tier 3**
 - **Evaluate COI Check redundancies - Forms to collect COI, confidentiality and financial disclosure information from Grants Working Group examined and streamlined.**
 - **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).**



Performance Audit Updates

- **24 Recommendations**
 - **2 In process and expected to be completed by the below dates.**
 - **Tier 2**
 - **Finance Workflow database-Purchased financial software in a cloud model and rollout in July 2013.**
 - **IT Plan-Draft plan is with vendor for input and complete by end of July 2013.**

