

TEROC

Incoming Correspondence: Part I



September 30, 2009
to
December 1, 2009

Contents:

- Letter from the African American Tobacco Control Leadership Council dated 9/30/2009 (Pages 1-2)
- E-mail from Randall Stafford regarding draft of Letter from TRDRP Scientific Advisory Committee to President Yudof dated 10/7/2009 (Page 3)
- Letter from TRDRP Scientific Advisory Committee to President Yudof dated 10/8/2009 (Pages 4-8)
 - State-wide Program (TRDRP) and RGPO Unit Responsibilities and Functions (Attached) (Page 9)
 - TRDRP Functions, Personnel (11 FTE) and Resource Requirements–Post-RGPO Consolidation (Attached) (Page 10)
- E-mail from Bart Aoki regarding TRDRP's Policy Research External Scientific Monitoring Committee dated 10/8/2009 (Page 11)
- E-mail from Paul Knepprath regarding the California Cancer Research Act Initiative dated 10/13/2009 (Page 12)
- E-mail from Eugene Hill regarding the California Cancer Research Act Initiative dated 10/15/2009 (Page 13)
- Letter from President Yudof regarding the Non-Advocate Review team dated 10/21/2009 (Pages 14-15)
- Letter from Eugene Hill with the new California Cancer Research Act Initiative dated 10/26/2009 (Pages 16-29)
- E-mail from Valerie Yerger regarding the letter from Legacy to the FDA dated 11/9/2009 (Page 30)
 - Legacy Letter to the FDA (Attached) (Pages 31-32)
- Final Report of NAR Committee dated 11/16/2009 (Pages 33-54)



The African American Tobacco Control Leadership Council

1714 Franklin Street, Ste. 100295 Oakland, CA 94612-3409 888-881-6619

September 30, 2009

Michael Ong, MD, PhD,
Assistant Professor in Residence
Division of General Internal Medicine and Health Services
Department of Medicine
University of California, Los Angeles
911 Broxton Avenue, 1st Floor
Los Angeles, CA 90024

Dear Dr. Ong,

We, the members of the African American Tobacco Control Leadership Council whose mission includes the dissemination of evidence-based data on African Americans and tobacco, would like to bring your attention to the preliminary report of a groundbreaking study conducted by The California Black Health Network and San Diego State University Research Foundation. This statewide study of the prevalence and correlates of African American tobacco use surveyed more than 2,000 African Americans. The study sample, representative of the state's African American population, was selected from the counties and cities where the majority of the state's African Americans reside. Findings from the study reveal an alarming smoking prevalence rate of approximately 32.6 % for this African American sample, and an even more alarming smoking prevalence rate of 45% for African American men living in segregated census tracts.

The study, funded through the Tobacco Related Disease Research Program (TRDRP) as a Community-Academic Research Award, utilized community-based survey methodology to acquire basic data on tobacco use among a random statewide sample of California's African American population. This methodology design allowed for the inclusion in the study the participation of African Americans who do not have telephone landlines. This important subset of the African American population has historically been excluded from previous prevalence studies that relied on Random Digit-Dial Telephone Surveys (RDDTS).

The results of this community-based survey indicate that tobacco use prevalence rates are significantly greater than the 19% reported by both the California Adult Tobacco Survey and the California Health Interview Survey (CHIS). This community-based survey also reveals that the uses of other tobacco products, such as blunts, bidis, and Black & Milds, are significantly prevalent in the African American Community. Furthermore, this report also implies that similar findings could exist in other communities of color.

We are requesting that TERC make the following recommendations to the State:

1. Review and improve the tobacco use data collection methodology for communities of color
2. Increase the funding of culturally appropriate cessation services to communities of color
3. Allocate specific funding to the African American community to include more targeted research to further identify tobacco use issues
4. Focus more attention on isolated, low SES persons of color

Much could be said here about the importance of addressing the needs of African Americans. In the final analysis it is clear that if the state of California, indeed the nation, ever intends to reach its goals for the elimination of health

Bruce Allen, Dr. P.H.
Denise Adams-Simms, MPH
Kimberly Bankston-Lee
Phillip Gardiner, Dr. P.H.

Girma Gobezie
Beverly Jones-Wright
Twlia Laster
Carol McGruder

Nsele Nsuangani
Margaret Preacely
Denise Reed
Audrey Smith

Stalice Wilmore
Gary Woodson
Valerie Yerger, N.D.



The African American Tobacco Control Leadership Council

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disparities among communities of color, then targeted, focused interventions with sufficient resources must be implemented that reach the populations in greatest need.

Sincerely,

The African American Tobacco Control Leadership Council

Bruce Allen, Jr. Dr. P.H.
Denise Adams-Simms, M.P.H.
Kimberly Bankston-Lee
Phillip Gardiner, Dr. P.H.
Girma S. Gobezie
Beverly Jones Wright
Twlia Laster
Carol McGruder

Nsele M. Nsuangani, M. P.H.
Margaret Preacely, M.P.H.
Denise Reed
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Gary Woodson
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Nsele Nsuangani
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Gary Woodson
Valerie Yerger, N.D.

-----Original Message-----

From: Randall S. Stafford, MD, PhD [<mailto:rstafford@stanford.edu>]
Sent: Wednesday, October 07, 2009 12:14 PM
To: Ong, Michael M.D.
Cc: Larry Green
Subject: Fwd: SAC Letter Draft

Hi Michael and Larry -- Sorry that I did not forward our draft to you earlier. Note that we are still debating some changes to the letter and would appreciate your thoughts and comments.

Randy

Randall S. Stafford, MD, PhD
Associate Professor of Medicine
Director, Program on Prevention Outcomes and Practices Stanford Prevention
Research Center 650-724-2400

----- Forwarded Message -----

From: rstafford@stanford.edu
To: "Serena Chen" <SChen@alac.org>, "fbk" <fbk@stanford.edu>, "Sara Courtneidge" <courtneidge@burnham.org>, "David Cowling (CDPH-CDIC)" <David.Cowling@cdph.ca.gov>, "Fred Grannis" <FGrannis@coh.org>, "Paul Murata" <pmurata@cox.net>, mnewhoff@mail.sdsu.edu, "Geri Padilla" <geraldine.padilla@nursing.ucsf.edu>, "Statrice Wilmore" <swilmore@cityofpasadena.net>
Cc: "Jim Ford" <jmf@stanford.edu>, "Klaus Porzig" <kporzig@stanford.edu>
Sent: Tuesday, October 6, 2009 4:47:24 PM GMT -08:00 US/Canada Pacific
Subject: Re: SAC Letter Draft

Hi All -- Here is a new draft of our TRDRP SAC letter to President Yudof. Please try to return your input to me by the end of the day tomorrow (Wednesday). I will informally query TRDRP staff tomorrow during the Environment Initiate meeting up in Oakland.

I have copied the chair and past-chair of the Breast Cancer Research Program to receive their comments and suggestions, as well.

Thanks for your help,

Randy

Randall S. Stafford, MD, PhD
Associate Professor of Medicine
Director, Program on Prevention Outcomes and Practices Stanford Prevention
Research Center 650-724-2400

----- Original Message -----

From: rstaff@stanford.edu <rstaff@stanford.edu>
To: Mark G. Yudof <president@ucop.edu>
Cc: Lawrence Pitts, MD <lawrence.pitts@ucop.edu>; Steven Beckwith <steven.beckwith@ucop.edu>; Ong, Michael M.D.; Constance A. Benson, MD <cbenson@ucsd.edu>; Jim Ford <jmf@stanford.edu>
Sent: Thu Oct 08 13:52:06 2009
Subject: Letter from TRDRP Scientific Advisory Committee

President Yudof --

Please find attached, a communication from the Scientific Advisory Committee of the Tobacco-Related Disease Research Program, as well as the two figures referenced in our letter. While we welcome the proposed Non-Advocate Review of the Office of Research and Graduate Studies, we are very concerned that this process requires modification if it is to be responsive to TRDRP's mission.

Please let me know if you have any questions or have difficulty accessing these documents.

Sincerely,

Randall S. Stafford, MD, PhD, Chair
TRDRP Scientific Advisory Committee

Associate Professor of Medicine
Director, Program on Prevention Outcomes and Practices Stanford
Prevention Research Center 650-724-2400

IMPORTANT WARNING: This email (and any attachments) is only intended for the use of the person or entity to which it is addressed, and may contain information that is privileged and confidential. You, the recipient, are obligated to maintain it in a safe, secure and confidential manner. Unauthorized redisclosure or failure to maintain confidentiality may subject you to federal and state penalties. If you are not the intended recipient, please immediately notify us by return email, and delete this message from your computer.

Tobacco-Related Disease Research Program
Scientific Advisory Committee

October 8, 2009

Mark G. Yudof, President
University of California
1111 Franklin Avenue, 12th Floor
Oakland CA 94607-5200

Re: Proposed Non-Advocate Review of Office on Research and Graduate Studies

Dear President Yudof;

As members of the Tobacco-Related Disease Research Program's Scientific Advisory Committee (SAC), we devoted substantial time at our September meeting reviewing the Proposed Non-Advocate Review and its charge. Although we applaud the intent to review the Office on Research and Graduate Studies (ORGS) and to reduce redundancies and increase efficiencies, we are deeply concerned about serious omissions in the process, the evaluation criteria considered, and the composition of the Non-Advocate Review committee. We respectfully request that our concerns be addressed.

In 1988, the University of California Office of the President (UCOP) was entrusted with the stewardship of establishing the Tobacco-Related Disease Research Program (TRDRP) within specific legislative mandates. Since that time, the TRDRP has developed into a nationally and internationally recognized program. The Program is relied upon as a key partner in the efforts to eliminate the devastating health and social harms caused by tobacco use. To achieve its great success, the TRDRP staff has developed long-term collaborative relationships with researchers, as well as with the California Department of Public Health's Tobacco Control Program, city and county public health departments, community-based organizations, voluntary organizations, and other public health advocates. We rely on UCOP's careful stewardship of TRDRP and welcome the planned review as a means of ensuring the future viability of a fully functioning TRDRP.

Beyond its critical role as a grant-making organization, TRDRP serves as a keystone in a network of governmental, academic, professional, public health, and community organizations dedicated to reducing the human and economic costs of tobacco use in California. These multiple functions emanate from TRDRP's legislative mandate. These functions, in turn, serve the needs of TRDRP's multiple constituencies that as members of the SAC we are charged to represent. Any reorganization of ORGS that affects the three legislatively mandated programs concerned with Tobacco, Breast Cancer and HIV/AIDS requires the involvement of each program's key stakeholders in the review process to ensure that programmatic missions are respected and that mandates are not diminished. We recognize the challenges that your office faces currently. Our suggestions will enable the planned Non-Advocate Review to surmount these challenges rather than exacerbate them.

Need to Reframe the Scope of the Non-Advocate Review

We understand the Non-Advocate Review as an objective evaluation of broadly defined benefits and harms of recent and proposed changes in the structure and operation of ORGS. Like you, we are eager to maximize operational efficiencies of TRDRP functions. To do so, it is critical to assess the full range of benefits and harms that have accompanied this process thus far. In particular, the reviewers must evaluate the extent to which disruption produced by the prolonged reorganization in ORGS has set back TRDRP and its ability to fulfill its mission and the value that TRDRP brings to its constituencies. Value is best understood as the quality of the program in relation to the financial resources that TRDRP uses. The review should focus on whether true cost savings have accrued thus far. If this proves to be the case, the review should then consider whether these savings justify any decrease in the quality of TRDRP services that they have produced. In comprehensively reviewing the current and planned reorganization, a key component is to determine the next steps should the current plans be determined to be non-viable. In this light, we suggest that the reviewers articulate a plan for continuing review of ORGS over the next two years. This is particularly relevant to TRDRP because the reorganization has not yet provided TRDRP the peer review services intended under the matrix structure, but has nonetheless increased TRDRP administrative costs.

Additional Questions to be Addressed by the Non-Advocate Review

The questions posed to the reviewers in the proposed plan touch on many important issues. Additionally, in our view, several other questions should be addressed:

- 1) To what extent has the reorganization helped or hindered TRDRP in meeting its state-wide and legislative requirements and responsibilities? In particular, how do the current and planned changes affect TRDRP's ability to:
 - a. Disseminate research findings to other key tobacco control organizations in California, particularly those funded by Proposition 99?
 - b. Develop policies to translate research findings into feasible applications?
 - c. Provide outreach to researchers with a potential interest in TRDRP initiatives, including the development of new researchers?
- 2) To what extent can the planned application review process meet the scientific standards embodied in the required National Institutes of Health (NIH) model of review?
- 3) Is the plan fiscally feasible and is there a sufficient budget to underwrite the new structure and the disruption that it entails?
- 4) What is the back-up plan should the current plan prove unworkable and inefficient?
- 5) What is the plan for ongoing evaluation and for oversight of the implementation of the Non-Advocate Review recommendations?
- 6) To what extent is TRDRP being unduly burdened to assist UCOP with its current financial difficulties?
- 7) How does TRDRP's current efficiency and ability to carry out its mission compare to fiscal year 2007-08?

Metrics of Program Efficiency

Measuring the efficiency of any scientific review process requires a sophisticated

approach. Simplistic metrics of efficiency can be misleading. One such metric, the ratio of funds expended for review divided by total funds awarded, is a particularly poor method of measurement because it fails to account for substantial variation in the scope and quality of different types of scientific review. Any attempt to measure grant review efficiency should also account for:

- 1) Volume of applications reviewed and awarded.
- 2) Quality of the review performed.
- 3) Opportunity for in-person debate among reviewers.
- 4) The extent of written comments provided to applicants.
- 5) Use of non-California expert reviewers.
- 6) Use of an adequate number of reviewers for each application.

Additionally, any assessment of the TRDRP review process should encompass a number of other metrics, including:

- 1) Number of scientific collaborations sustained as a result of TRDRP funding.
- 2) Number of community organizations that are successful applicants.
- 3) Number of new grantees (individuals and organizations) that are funded.
- 4) The adoption of evidence-based practices by California tobacco control organizations, especially those emanating from TRDRP-funded research.

Composition of Proposed Non-Advocate Review Panel

In examining the list of proposed reviewers, we are disappointed by the lack of balanced expertise. Although the group adequately covers the physical sciences, there is inadequate representation of expertise in health sciences, particularly the lack of public health expertise. We also were disappointed by the absence of a reviewer with expertise in tobacco issues and tobacco-related disease. Such an oversight leaves us little confidence that the review will adequately recognize TRDRP's role in the California tobacco control community. Finally, the review panel appears to be adequately familiar with the review process of the National Science Foundation, but not of NIH. Again, it is vital to recognize that TRDRP is legislatively mandated to follow an NIH model of review.

We believe that these deficiencies should be remedied by the addition of two new reviewers to the group, both of whom are emeritus professors of the University of California. To fill the need for expertise in public health we suggest that Steven Schroeder, MD (schroeder@medicine.ucsf.edu) be invited to join the review group. Dr. Schroeder has vast expertise in medical research, public health, and grant funding organizations (as former President of the Robert Wood Johnson Foundation). To fill the need for a reviewer with tobacco-specific expertise, we suggest that David M. Burns, MD (dburns@ucsd.edu) be invited as an additional reviewer. Dr. Burns, a leading voice for smoking cessation policy, has formidable stature within the tobacco control community.

Required Staffing Levels for TRDRP

One of the most devastating consequences of the attempts to reorganize ORGS has been a

reduction in TRDRP staffing that is not adequate for TRDRP to function. Staffing levels should be increased to a total 11 FTE within TRDRP. We fear that the Non-Advocate review will fail to recognize that during this period of staff reductions, TRDRP has taken on additional projects beyond the workload of previous years. We believe that TRDRP is best served by the restoration of staffing to its previous level of 11 FTEs. This need is particularly acute given the new initiatives that TRDRP is undertaking in the areas of policy research, environmental impact of smoking, and strategies of screening for lung cancer. As we detail in the enclosed charts (see TRDRP/RGPO Functions and TRDRP Unit Functions), this restored staffing level includes a TRDRP Director (1 FTE), a Public Policy Area Expert & Policy Initiative Lead (1 FTE), a Social/Behavioral Sciences Expert & Behavioral Initiative Lead (1 FTE), a Cardiovascular & General Biomedical Expert & Bioscience Initiative Lead (1 FTE), a Cancer & Pulmonary Expert & Environmental Initiative Lead (1 FTE), two Scientific Analysts (2 FTEs), a Media Designer and Communications Lead (1 FTE), a Administrative Coordinator (1 FTE), and two Program Assistants (2 FTEs). These levels of staffing will allow TRDRP to meet its legislative requirement and the needs of its multiple constituencies.

We continue to appreciate your efforts to comprehensively review recent and planned modifications of the organizational structure of ORGS. The TRDRP SAC wishes to collaborate with you to maximize TRDRP's operational efficiency in meeting its legislatively mandated requirements and serving the needs of its constituents. The modifications to the upcoming Non-Advocate Review that we have proposed will strengthen the review's likelihood of success in supporting TRDRP functions, as well as the function of other ORGS research organizations. Thank you for your continued support of TRDRP and its mission.

Sincerely,

Randall S. Stafford, MD, PhD, Chair
Stanford University

Marilyn Newhoff, PhD, Vice-Chair
San Diego State University

Sara A. Courtneidge, PhD, DSc(Hon)
Burnham Institute

Serena Chen, MSW
American Lung Association

David Cowling, PhD
California Department of Public Health

Frederic Grannis, MD
American Lung Cancer Alliance

Frederic B. Kraemer, MD
American Heart Association

Paul Murata, MD, MSPH
American Cancer Society

Geraldine V. Padilla, PhD
University of California, San Francisco

Statice Wilmore, BS
City of Pasadena, California

cc: Lawrence Pitts, MD;
Steven Beckwith, PhD;
James M. Ford, MD;
Constance A. Benson, MD;
Michael Ong, MD

State-wide Program (TRDRP) and RGPO Unit Responsibilities and Functions

	Program Direction & Planning	Applicant Outreach, Solicitation & Review	Grant Funding & Monitoring	Research Dissemination, & Translation	Program Evaluation & Accountability
TRDRP	Scientific Advisory Committee (SAC) & Other Priority Setting	Program-Specific Application Policies & RFAs	Funding Decisions	<i>Systematic</i> Dissemination of Research Results: <ul style="list-style-type: none"> Public Health Care Community State Dept. of Public Health State Dept. of Education 	Report to State Legislature & State Oversight Committee (TEROC)
	Coordination with State Dept. of Public Health & Dept. of Education to fulfill State Tobacco Control Master Plan	State-wide Applicant Outreach	Program-Specific Grant Policies		Facilitation of Translation into Commercial Applications
	Scientific Think Tanks & Cross-Sector Partnerships for Initiative Development	Subject Matter Support of Applicants	Negotiate Final Project & Budget Terms		
	Program-Specific Resource (Budget) Planning	Reviewer Subject Matter Expertise & Panel Composition	Review of Scientific Progress		
		RGPO-Wide Application & Review Policies			Evaluate Application and Review Process
PARC		Calls for Applications Posting & Dissemination			
		Technical & Administrative Support of Applicants & Application Process			
		Reviewer Coordination & Management of Review Meetings			
			RGPO-Wide Contracts & Grant Administration Policies		Collect Data on Quality & Impact of RGPO Research Portfolio
			Execute Contracts & Fund Transfers		Evaluate Grant Management Processes
PAAC			Technical & Administrative Support of Grantees		
			Monitor Compliance with Grant Management Policies		
	Budget Management, Financial Reports & Liaison to UCOP Budget Office	Proposal Central Contract & Application Database Programming Support	Grant Database Programming Support		Grant Database Programming Support
		Meeting Site Contracts, Site Liaison, Reviewer Payments & Travel Reimbursements	Financial Transaction Support, Liaison to Business Resource Center (BRC)		
RGPO Admin.					

TRDRP Functions, Personnel (11 FTE) and Resource Requirements – Post-RGPO Consolidation

	Program Direction & Planning	Applicant Outreach, Solicitation & Review	Grant Funding & Monitoring	Research Dissemination, & Translation	Program Evaluation & Accountability
	Scientific Advisory Committee (SAC) & Other Priority Setting	Program-Specific Application Policies & RFAs	Funding Decisions	Systematic Dissemination of Research Results: • Public Health Care Community • State Dept. of Public Health • State Dept. of Education	Report to State Legislature & State Oversight Committee (TEROC)
	Coordination with State Dept. of Public Health & Dept. of Education to fulfill State Tobacco Control Master Plan	State-wide Applicant Outreach	Program-Specific Grant Policies		
	Scientific Think Tanks & Cross-Sector Partnerships for Initiative Development	Subject Matter Support of Applicants	Negotiate Final Project & Budget Terms		Evaluate Program-Specific Outcomes & Impact
	Program-Specific Resource (Budget) Planning	Reviewer Subject Matter Expertise & Panel Composition	Review of Scientific Progress	Facilitation of Translation into Commercial Applications	
TRDRP Functions					
	<p>Director (.5 FTE)</p> <p>Cancer & Pulmonary Area Expert & Initiative Lead (.35 FTE)</p> <p>Cardiovascular & Gen. Biomedical Area Expert & Initiative Lead (.35 FTE)</p> <p>Public Policy Area Expert & Initiative Lead (.35 FTE)</p> <p>Social/Behavioral Area Expert & Initiative Lead (.35 FTE)</p> <p>Scientific Analyst (.8 FTE)</p> <p>Admin. Coordinator (.3 FTE)</p> <p>Prog. Assistant (.8 FTE)</p> <p>Program Planning & Direction 3.8 FTE</p>	<p>Director (.10 FTE)</p> <p>Cancer & Pulmonary Area Expert & Initiative Lead (.3 FTE)</p> <p>Cardiovascular & Gen. Biomedical Area Expert & Initiative Lead (.3 FTE)</p> <p>Public Policy Area Expert & Initiative Lead (.3 FTE)</p> <p>Social/Behavioral Area Expert & Initiative Lead (.3 FTE)</p> <p>Admin. Coordinator (.3 FTE)</p> <p>Prog. Assistant (.15 FTE)</p> <p>Media Designer (.15 FTE)</p> <p>Applicant Outreach, Solicitation & Review 1.9 FTE</p>	<p>Director (.10 FTE)</p> <p>Cancer & Pulmonary Area Expert & Initiative Lead (.2 FTE)</p> <p>Cardiovascular & Gen. Biomedical Area Expert & Initiative Lead (.2 FTE)</p> <p>Public Policy Area Expert & Initiative Lead (.2 FTE)</p> <p>Social/Behavioral Area Expert & Initiative Lead (.2 FTE)</p> <p>Admin. Coordinator (.3 FTE)</p> <p>Prog. Assistant (.15 FTE)</p> <p>Media Designer (.15 FTE)</p> <p>Grant Funding & Monitoring 1.5 FTE</p>	<p>Director (.10 FTE)</p> <p>Cancer & Pulmonary Area Expert & Initiative Lead (.1 FTE)</p> <p>Cardiovascular & Gen. Biomedical Area Expert & Initiative Lead (.1 FTE)</p> <p>Public Policy Area Expert & Initiative Lead (.1 FTE)</p> <p>Social/Behavioral Area Expert & Initiative Lead (.1 FTE)</p> <p>Scientific Analyst (.2 FTE)</p> <p>Admin. Coordinator (.05 FTE)</p> <p>Prog. Assistant (.3 FTE)</p> <p>Media Designer (.7 FTE)</p> <p>Research Dissemination & Translation 1.75 FTE</p>	<p>Director (.20 FTE)</p> <p>Cancer & Pulmonary Area Expert & Initiative Lead (.05 FTE)</p> <p>Cardiovascular & Gen. Biomedical Area Expert & Initiative Lead (.05 FTE)</p> <p>Public Policy Area Expert & Initiative Lead (.05 FTE)</p> <p>Social/Behavioral Area Expert & Initiative Lead (.05 FTE)</p> <p>Scientific Analyst (1.0 FTE)</p> <p>Admin. Coordinator (.05 FTE)</p> <p>Prog. Assistant (.6 FTE)</p> <p>Program Evaluation & Accountability 2.05 FTE</p>
Personnel Required					
	<ul style="list-style-type: none"> Scientific Advisory Committee Meeting Costs Scientific Think Tank & Partnership Meeting Costs Staff Participation at Selected Meetings & Scientific Conferences 	<ul style="list-style-type: none"> Review Meeting Costs Reviewer Travel & Honoraria Applicant Outreach Travel 		<ul style="list-style-type: none"> Printing Costs Biennial Conference Travel Costs Related to Dissemination Activities 	<ul style="list-style-type: none"> Printing Costs Travel Costs Related to Reporting to Legislature & Oversight Committee
Other					

Baird, Glen (CDPH-CDIC-TCS)

From: Baird, Glen (CDPH-CDIC-TCS)
Sent: Thursday, October 08, 2009 9:47 AM
To: Alan Henderson; Dorothy Rice; Dorothy Rice; Lawrence Green; Lourdes Baezconde-Garbanati; Michael Ong; Pamela Ling; Peggy Uyeda; Valerie Yerger; Wendel Brunner
Cc: DShoemaker@hsd.cccounty.us; hwatkins@mednet.ucla.edu; Rosa Barahona (barahona@usc.edu)
Subject: FW: External Scientific Monitoring Committee Members

From: Bart Aoki [mailto:Bart.Aoki@ucop.edu]
Sent: Thursday, October 08, 2009 9:28 AM
To: Baird, Glen (CDPH-CDIC-TCS)
Cc: George Lemp
Subject: External Scientific Monitoring Committee Members

Hi Glen,

Per TEROC's request here is the list of members of the TRDRP External Scientific Monitoring Committee (ESMC) who will be reviewing the work of the recently funded Policy Research team:

- Ursula Bauer, Ph.D., MPH.; New York State Department of Health
- Frank Chaloupka, Ph.D.; University of Illinois at Chicago
- Gary King, Ph.D.; Pennsylvania State University
- Wayne Velicer, Ph.D. University of Rhode Island

We'd appreciate your forwarding this information to the members at your convenience.

Best,
 Bart

Bart K. Aoki, Ph.D.

Associate Director
 California HIV/AIDS Research Program
 Tobacco-Related Disease Research Program (Acting)
 University of California, Office of the President
 300 Lakeside Drive, 6th Floor
 Oakland, California 94612
 Tel: (510) 987-9537
 Fax: (510) 835-4220
<http://chrp.ucop.edu>
<http://www.trdrp.org>

Please note the Universitywide AIDS Research Program is now the California HIV/AIDS Research Program (CHRP)

From: Paul Kneprath <PKneprath@alac.org>
To: Ong, Michael M.D.
Sent: Tue Oct 13 15:09:55 2009
Subject: Your Feedback on Tobacco Tax Initiative

Hi Michael – I know that you/TEROC had some discussion about this initiative and I would like to get your own feedback. I've attached the measure (California Cancer Research Act). **We'd like to get your responses by end of day tomorrow, Wednesday, 10/14!**

As written (attached) the measure puts 50% to research, 40% for facilities, 5% cessation and 5% administration. I believe that the percentages will be adjusted so that it will dedicate the moneys accordingly:

- 60% cancer research (\$500 million)
- 15% facilities and equipment (\$125 million)
- 20% tobacco control/cessation (\$170 million)
- 3 % enforcement (\$25 million)
- 2 % administration (\$17 million)

Of course, I would be interested in your overall take on this measure, but mostly want your view on the following questions:

1. Is this a good way to dole out \$500 million annually in (mostly cancer) research funds?

2. Is the committee as it is proposed (see Section 3, pp.2-5) the appropriate and optimal means to distribute these funds, in terms of:

- Size of committee
- The individual and cumulative prerequisite qualifications of the committee appointees.
- The positions of the appointing authorities

If not, what changes would make it better?

(Note that the 3 chancellors of the CISI campuses who get reserved spots on the committee reflect the driving force behind this effort—the California Institute for Quantitative Biosciences – comprised of UCSF, UC Berkeley & UC Santa Cruz. Any insight you have on this group would be valuable.)

3. Are the parameters set forth for what the research funds could be used for (see Section 5(d)(1), p.6) appropriate and optimal? If not, what language would make it better?

4. Can we justify spending \$125 million annually (in perpetuity) on research facilities? If not, what is a more defensible amount? And are the parameters of the set forth for the facilities (see Section 5(d)(2) p.7) appropriate and optimal? And if not what changes would make it better?

5. Do you see any (other) red flags?

Thanks for any feedback you can provide.

Take care, Paul
Paul Kneprath
Vice President, Advocacy & Health Initiatives
American Lung Association in California
1029 J. Street, Suite 450
Sacramento, CA 95814

From: Eugene Hill [Gene@olsonhagel.com]
Sent: Thursday, October 15, 2009 3:22 PM
To: Ong, Michael M.D.
Cc: spolka@sbcglobal.net
Subject: California Cancer Research Act

Dr. Ong. Thanks your for taking the time to become familiar with the California Cancer Research Act.. We believe it will be an important ballot measure with positive results. Thanks also for reminding us about the TEROC Master Plan and the comments in your letter.

The proposal you read will be modified and we believe the issues you raise will be addressed by the modifications. We expect to release the modified text shortly.

Again, we appreciate your interest in this proposal and look forward to your support.

Eugene Hill



1111 Franklin Street
Oakland, California 94607-5200
Phone: (510) 987-9074
Fax: (510) 987-9086
<http://www.ucop.edu>

October 21, 2009

Randall S. Stafford, M.D., Ph.D.
Chair, TRDRP Scientific Advisory Committee (SAC)
Stanford Prevention Research Center
Hoover Pavilion
211 Quarry Road, N231
Stanford, California 94305-5705

Michael Ong, M.D., Ph.D.
Chairperson, State of California Tobacco Education
and Research Oversight Committee (TEROC)
UCLA Department of Medicine
911 Broxton Avenue, 1st Floor
Los Angeles, California 90024

Dear Dr. Stafford and Dr. Ong:

Thank you for your letters of October 8 and October 12, in which you describe your concerns about the upcoming review of the plans for the reorganization of grant program functions in the Office of Research and Graduate Studies (ORGS). As you know, UC has taken on the responsibility to manage a number of research programs at the request of the State that have varied needs and multiple constituencies.

I want to assure you that we will consult you and all of the advisory groups about changes we contemplate for the management of the programs before implementing those changes. Indeed, partly in response to concerns you raised in the past, we have not implemented our new approach to peer review and grant oversight with the TRDRP and other Special Research Programs (SRPs) so that we could test out the effectiveness of the new ideas with UC research programs and allow us to bring the new staff up to speed before they work with the SRPs.

ORGS has now used its new management structure to carry out three major reviews and distribute approximately \$60 million/year of funding at a total cost of well under \$1 million, a substantial savings from past reviews. It is now an appropriate time for us to take stock of these results and review the management approach to evaluate these efforts and show the potential benefits to the outside constituencies responsible for the SRPs, as well as identifying areas where the UC approach would need modification to address the concerns in your letter. The review will provide an excellent guide to areas whereby we might improve our approach.

Randall S. Stafford, M.D., Ph.D.
Michael Ong, M.D., Ph.D.
October 21, 2009
Page 2

Part of the review will also include an analysis of the costs of different aspects of the research programs so that UC and the advisory councils can assess the costs of new initiatives and evaluate whether these costs are in keeping with the legislative mandates discussed in your letter. I will defer any discussion of staffing levels or any other specific issues for the programs until we have the benefit of this assessment and can discuss the future needs of the programs.

I will share your letter and suggestions with the Chairman of the Non-Advocate Review (NAR) team, with the caveat that you may not fully understand how the NAR is intended to carry out its tasks. The NAR is an independent assessment process to review the reorganization plans, and it will be up to them to adopt suggestions from various parties as they see fit.

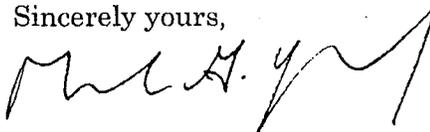
I also recognize your desire to include reviewers with expertise in public health or health sciences, who have familiarity with the NIH review model. We are working to recruit an appropriate expert now. I appreciate the suggested candidates in your letter and will pass these suggestions along to the Chairman of the review committee.

You raised several other issues that I will not address in detail, but will rather acknowledge that managing these programs is complex, requiring judgment about the metrics for success, the appropriate staffing for each function, and the benefits of new initiatives when weighed against the costs. The legislation gives the University the responsibility and authority for ensuring that we satisfy the broad goals of the program while simultaneously keeping the costs of administering the work low. We believe new approaches to managing the programs that ultimately reduce costs and put the maximum amount of the research money in the hands of the researchers will be welcomed during these times of fiscal stress.

Finally, let me say how invaluable your advice is to me. As you know, UC is facing major challenges to its programs due to reduced funding from the State. To maintain staff cohesion and ensure that we treat everyone on the staff fairly, the SRPs have had to participate in many of the same cost-saving programs generally applicable to UC staff, including delay in filling vacancies and furlough programs. I appreciate your patience as we work through these issues and hope that you understand our need to treat all our employees evenhandedly.

With best wishes, I am,

Sincerely yours,



Mark G. Yudof
President

cc: Interim Provost Pitts
Vice President Beckwith

Law Offices of

**OLSON
HAGEL &
FISHBURN**

LLP

October 26, 2009

Michael Ong, M.D., Ph.D., Chairperson
State of California Tobacco Education
and Research Oversight Committee
1616 Capitol Avenue
P.O. Box 997377 MS#7206
Sacramento, CA 95899

RE: CALIFORNIA CANCER RESEARCH ACT

Dear Dr. Ong:

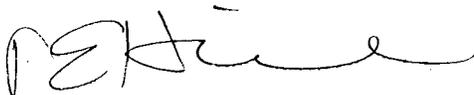
Thank you for your letter dated October 14, 2009 and the information it contained.

The initiative proposal filed on September 22, 2009 was withdrawn. Attached is a proposal that we filed with the Attorney General on Friday, October 23, 2009.

Please contact me if you have any further comments or questions.

Very truly yours,

OLSON HAGEL & FISHBURN LLP



N. EUGENE HILL
NEH:ab

Enclosure

Lance H. Olson
Bruce J. Hagel
Diane M. Fishburn
Elizabeth L. Gade
Deborah B. Caplan
N. Eugene Hill
Richard C. Miadich
Richard R. Rios
Rebecca J. Olson
Christopher W. Waddell

10/23/2009

The people of the State of California do enact as follows:

HOPE 2010: THE CALIFORNIA CANCER RESEARCH ACT

SECTION 1. Findings and Declarations

- (a) Despite continuing advancements in medical treatment and prevention, cancer remains a leading cause of death in California, responsible for nearly one in every four deaths each year.
- (b) Medical experts expect more than 140,000 Californians to be diagnosed with cancer each year.
- (c) Cigarette smoking and other uses of tobacco remain the leading causes of cancer in California, as well as many other serious health problems, including cardiovascular disease, emphysema and other chronic illnesses.
- (d) The treatment of tobacco-related diseases continue to impose a significant burden upon California's overstressed health care system. Tobacco use costs Californians billions of dollars a year in medical expenses and lost productivity.
- (e) Given the urgent need for new and effective treatments for cancer and other tobacco-related illnesses, tobacco tax revenues are an appropriate source of funds for research into the causes, early detection, and effective treatment, care, prevention, and potential cures of lung cancer and other types of cancer, cardiovascular disease, emphysema and other chronic diseases and to provide facilities for such research.
- (f) HOPE 2010: The California Cancer Research Act will provide an ongoing source of funds to allow California's leading researchers to advance human understanding and knowledge about the causes, early detection, effective treatment, care, prevention and potential cures for cancer and other tobacco-related illnesses.
- (g) Tobacco tax increases are an appropriate way to fund efforts to prevent and reduce tobacco-caused cancers and other diseases because increasing tobacco product prices directly reduces smoking and other tobacco uses.
- (h) In order to control cancer, sustained support for cancer research is paramount and must include all phases of cancer research, from basic

and applied research to that which transfers technology from academic institutions and laboratories to use by medical providers and consumers.

SECTION 2. Statement of Purpose

The purpose of this measure is to increase the tax on tobacco to fund the following:

- (1) Grants and loans for biomedical, epidemiological, behavioral, health services, and other research in California to enhance the state of medical knowledge regarding lung cancer and other types of cancer, cardiovascular disease, emphysema and other tobacco-related illnesses.
- (2) Creation, staffing and equipping of California research facilities engaged in biomedical, epidemiological, behavioral, health services, and other research whose primary focus is to identify and refine promising prevention, early detection, treatments, complementary treatments and potential cures of lung cancer and other types of cancer, cardiovascular disease, emphysema and other tobacco-related diseases.
- (3) Increased efforts to reduce tobacco use in the State and prevent children from becoming addicted users.

SECTION 3. HOPE 2010: California Cancer Research Act

Article 2.5 (commencing with Section 30130.50) is added to Chapter 2 of Part 13 of Division 2 of the Revenue and Taxation Code, to read:

§ 30130.50. HOPE 2010 Cancer Research Cigarette Excise Tax

- (a) *In addition to any other tax imposed under this part, a separate excise tax is hereby imposed upon every distributor of cigarettes upon the distribution of cigarettes at the rate of fifty mills (\$0.050) for each cigarette distributed on and after the first day of the first calendar quarter commencing more than 90 days after the effective date of this section.*
- (b)
 - (1) *In addition to any other tax imposed under this part, every dealer and wholesaler, for the privilege of holding or storing cigarettes for sale, use, or consumption, shall pay a floor stock tax for each cigarette in his or her possession or under his or her control in this state at 12:01 a.m. on the first day of the first calendar quarter commencing more than 90 days after the effective date of this section at the rate of fifty mills (\$0.050) for each cigarette.*
 - (2) *Every dealer and wholesaler shall file a return with the State Board of*

Equalization on or before the first day of the first calendar quarter commencing more than 180 days after the effective date of this section on a form prescribed by the board, showing the number of cigarettes in his or her possession or under his or her control at 12:01 a.m. on the first day of the first calendar quarter commencing more than 90 days after the effective date of this section. The amount of tax shall be computed and shown on the return.

- (c) *Notwithstanding any other provisions of law, the tax created by the HOPE: 2010 Cancer Research Act and the revenue derived there from, including investment interest, shall be considered trust funds, to be expended solely for the purposes set forth in this Act and shall not be considered to be part of the General Fund, as that term used in Chapter 1, Part 2, Division 4 of the Government Code, commencing with Section 16300, and shall not be considered General Fund revenue for purposes of Section 8 of Article XV of the California Constitution, and its implementing statutes.*

§ 30130.51. Definitions

For the purposes of this article:

- (a) *“Cigarette” has the same meaning as that in Section 30003, as it read on January 1, 2009.*
- (b) *“Tobacco products” includes, but is not limited to, all forms of cigars, smoking tobacco, chewing tobacco, snuff, and any other articles or products made of, or containing at least 50 percent, tobacco, but does not include cigarettes.*

§ 30130.52. Effect on Tobacco Consumption and Tax Revenue

- (a) *The State Board of Equalization shall determine within one year of the operative date of this article, and annually thereafter, the effect that the additional tax imposed on cigarettes by this article, and the resulting increase in the tax on tobacco products required by subdivision (b) of Section 30123, have on the consumption of cigarettes and tobacco products in this state. To the extent that a decrease in consumption is determined by the State Board of Equalization to be a direct result of the additional tax imposed by this article, or the resulting increase in the tax on tobacco products required by subdivision (b) of Section 30123, the State Board of Equalization shall determine the fiscal effect the decrease in consumption has on the Cigarette and Tobacco Products Surtax Fund created by Section 30122 (Proposition 99 as approved by the voters at the November 8, 1988, statewide general election), the Breast Cancer Fund created by Section 30461.6 and the portion of the General Fund created by Section 30101.*

- (b) *The State Controller shall transfer funds from the California Cancer Research Life Sciences Innovation Trust Fund to the Cigarette and Tobacco Products Surtax Fund, the Breast Cancer Fund and the General Fund, to offset the revenue decrease directly resulting from imposition of additional taxes by this article.*

§ 30130.53 HOPE 2010 Funds

- (a) *The California Cancer Research Life Sciences Innovation Trust Fund, and within that Fund, the Hope 2010 Research Fund, the Hope 2010 Facilities Fund, the Hope 2010 Tobacco Prevention and Cessation Fund, the Hope 2010 Law Enforcement Fund, and the HOPE 2010 Committee Account, are hereby established in the Treasury of the State of California.*
- (b) *Notwithstanding any other provision of law, the California Cancer Research Life Sciences Innovation Trust Fund and all funds, sub-funds or sub-accounts of that Fund, are trust funds established solely to carry out the purposes of this Act.*
- (c) *All revenues from the excise and floor stock tax received by the State of California, or State Officials, pursuant to the provisions of this Act, shall be deposited into the California Cancer Research Life Sciences Innovation Trust Fund.*
- (d) *Revenue deposited into the California Cancer Research Life Sciences Innovation Trust Fund shall be deposited and apportioned as follows:*
- (1) **Sixty percent (60%)** shall be deposited into the HOPE 2010 Research Fund for the purpose of grants and loans to support research into the prevention, early detection, treatments, complementary treatments and potential cures of lung cancer and other types of cancer, cardiovascular disease, emphysema and other tobacco-related diseases, including but not limited to coronary heart disease, cerebrovascular disease, and chronic obstructive lung disease, which shall be awarded on the basis of scientific merit as determined by an open, competitive peer review process that assures objectivity, consistency, and high quality. All qualified investigators, regardless of institutional affiliation, shall have equal access and opportunity to compete for the funds in this Act. The peer review process for the selection of grants awarded under this program shall be modeled on the process used by the National Institutes of Health in its grant-making process.
 - (2) **Fifteen percent (15%)** shall be deposited into the HOPE 2010 Facilities Fund for the purposes of grants and loans to provide facilities, including but not limited to those buildings, building leases and capital equipment as may be found necessary and appropriate by

the Committee, to further biomedical, epidemiological, behavioral, health services, and other research whose primary focus is to identify and refine promising prevention, early detection, treatments, complementary treatments, rehabilitation and potential cures of lung cancer and other types of cancer, cardiovascular disease, emphysema and other tobacco-related diseases, subject to the authority of the Committee to redirect surplus funds, as provided in this Act.

- (3) Twenty percent (20%)** shall be deposited into the HOPE 2010 Tobacco Prevention and Cessation Fund for carrying out comprehensive tobacco prevention and control programs, and apportioned in the following manner:

(A) Eighty percent (80%) of the HOPE 2010 Tobacco Prevention and Cessation Fund shall be allocated to the California Department of Public Health Tobacco Control Program to support the tobacco control programs described beginning at Section 104375 of the Health and Safety Code.

(B) Twenty percent (20%) of the HOPE 2010 Tobacco Prevention and Cessation Fund shall be allocated to the California Department of Education for programs to prevent and reduce the use of tobacco products as described in Section 104420 of the Health and Safety Code.

- (4) Three percent (3%)** shall be deposited into the HOPE 2010 Law Enforcement Fund to support law enforcement efforts to reduce cigarette smuggling, tobacco tax evasion, and counterfeit tobacco products, to reduce illegal sales of tobacco products to minors, and to enforce legal settlement provisions and conduct law enforcement training and technical assistance activities for tobacco-related statutes, and apportioned in the following manner:

(A) Forty percent (40%) of the HOPE 2010 Law Enforcement Fund to the State Board of Equalization to be used to enforce laws that regulate the distribution and retail sale of cigarettes and other tobacco products, such as laws that prohibit untaxed cigarette and tobacco product smuggling and counterfeiting and sales of cigarettes and other tobacco products without a proper license.

(B) Forty percent (40%) of the HOPE 2010 Law Enforcement Fund to the State Department of Public Health to be used to support programs, including, but not limited to, providing grants to local law enforcement agencies to provide training and funding for the enforcement of state and local laws related to the illegal sales of tobacco to minors, increasing investigative activities, and compliance checks, and other appropriate activities to reduce illegal

sales of tobacco products to minors , including, but not limited to the Stop Tobacco Access to Kids Enforcement (STAKE) Act, pursuant to Section 22952 of the Business and Professions Code.

(C) Twenty percent (20%) of the HOPE 2010 Law Enforcement Fund to the Attorney General to be used for activities including, but not limited to, enforcing laws that regulate the distribution and sale of cigarettes and other tobacco products, such as laws that prohibit cigarette smuggling, counterfeiting, selling untaxed tobacco, selling tobacco without a proper license and selling tobacco to minors, and enforcing tobacco-related laws, court judgments, and settlements.

*(5) **Two percent (2%)** shall be deposited into a HOPE 2010 Committee Account which may be used by the Committee and the State Board of Equalization for the costs and expenses of administering this Act.*

(e) Funds deposited into the California Cancer Research Life Sciences Innovation Trust Fund or any sub-fund or sub-account of that Fund, may be placed into the Pooled Money Investment Account for investment only, and interest earned shall be credited to the Fund and deposited, apportioned and expended only in accordance with the provisions of this Act and its purposes.

(f) Funds deposited into the California Cancer Research Life Sciences Innovation Trust Fund, together with interest earned by the Fund or any sub-fund, are hereby continuously appropriated for the purposes of this Act without regard to fiscal year, and shall be used solely for the purposes of this Act and shall not be subject to appropriation, reversion or transfer by the Legislature, the Governor or the Director of Finance for any other purpose and may not be loaned to the General Fund, or any other fund, for any purpose.

§30130.54 HOPE 2010 Cancer Research Citizens Oversight Committee

(a) There is hereby created within the Government of the State of California, the HOPE 2010 Cancer Research Citizens Oversight Committee. All references in this Act to the "Committee" are to the HOPE 2010 Cancer Research Citizens Oversight Committee. The Committee shall consist of nine members, appointed as follows:

(1) Four members appointed by the Governor, as follows:

(A) One member affiliated with a California Academic Medical Center who is a practicing physician with expertise in the prevention, treatment or research of cardiovascular disease.

(B) Three members selected from among the Cancer Center

Directors of National Cancer Institute designated cancer centers located within the State of California. Each Director may designate a person to attend meetings of the Committee in their place, so long as that person is employed at their respective center and that employment provides background and experience in cancer treatment.

- (2) The Chancellor from each of the campuses of the University of California which is a member of the California Institute for Quantitative Biological Research. Each Chancellor may designate a person to attend meetings of the Committee in their place, so long as that person is employed at their respective campus and that employment provides background and experience in qualitative bioscience.*
- (3) Two appointed by the Director of the California Department of Public Health, the appointments to be selected from among California representatives of California or national disease advocacy groups whose focus is tobacco-related illness, at least one of whom shall be a person who has been treated for a tobacco-related illness.*
- (4) No person who is required to register as a lobbyist under the provisions of any law of the United States, the State of California or any local government, is eligible for appointment to the Committee. A member of the Committee who registers with any governmental entity as a lobbyist is deemed to have resigned from the Committee and his or her office is deemed vacant as of the date of registration as a lobbyist.*
- (5) Notwithstanding any other provision of law, no member of the Committee, or those persons appointed by Committee members to attend meetings on their behalf, shall be an officer, employee, director, independent contractor, or grant recipient of any company or other business engaged in the manufacture, marketing, distribution, or sale of tobacco products, or have received any grants or payments for services of any kind from any such company or business during the past two years.*
- (6) The terms of office for appointed members shall commence on the effective date of this Act and continue for four years, except that the initial appointment of two members by the Governor and one member by the Public Health Director shall be for two year terms which shall expire two years after the effective date of this Act.*
- (7) Except for vacancies that occur as set forth in subdivision (a)(4) of this section, members appointed for a term shall continue to serve until their replacement is selected. If a vacancy occurs within a term, the appointing authority shall appoint a replacement member to serve the*

remainder of the term within 30 days of the date of the vacancy.

- (b) The members, by majority vote, shall annually select one of their number to serve as chair of the Committee and preside over its meetings and perform such other duties as may be delegated by the Committee.*
- (c) Except for those members who are also public officers or employees, the members of the Committee shall receive \$100 per day for each day occupied with attendance at public meetings of the Committee and reimbursement for their usual and ordinary expenses, as provided by the general law. Members of the Committee who are public officers or employees shall not be otherwise compensated for their service on the Committee.*
- (d) The Committee is vested with the power and authority to do all of the following:*
 - (1) Oversee the operations of the California Cancer Research Life Sciences Innovation Trust Fund and its sub-funds and sub-accounts and to act as trustee of the trust funds created by this Act.*
 - (2) Appoint a Chief Executive Officer who shall be exempt from the civil service pursuant to Article VII, Section 4 of the California Constitution. The Chief Executive Officer shall have the power to appoint such employees as are necessary for the administration of the Fund and the performance of those duties imposed upon the Committee by law, except that, notwithstanding any other provisions of law, no officer or employee of the Committee shall be an officer, employee, director, independent contractor, or grant recipient of any company or other business engaged in the manufacture, marketing, distribution, or sale of tobacco products, or have received any grants or payments for services of any kind from any such company or business during the past two years.*
 - (3) Establish such sub-funds and sub-accounts within the California Cancer Research and Life Sciences Innovation Fund, and apportion money in the Fund into such sub-funds and sub-accounts, as is found necessary and appropriate for administration of this Act.*
 - (4) Establish a process for soliciting, reviewing, and awarding grants and loans for research, facilities and patient treatment.*
 - (5) Establish and appoint such committees and advisory bodies as it deems necessary and appropriate to carry out its duties.*
 - (6) Develop annual and long-term strategic research and financial plans for the Fund, including an annual budget for administration of this Act.*

- (7) *Make final decisions on the award of loans and grants, and to revoke or rescind loans and grants which do not conform to approved research standards. Employ auditors to prepare an annual financial audit of the Fund's operations.*
- (8) *Issue, at least annually, public reports on the activities of the Committee and the Fund.*
- (9) *Establish policies regarding intellectual property rights arising from research funded by the Committee, which shall be consistent with those implemented by the University of California.*
- (10) *Establish rules and guidelines for the operation of the Fund and its employees.*
- (11) *Periodically review the income and expenditures of the HOPE 2010 Facilities Fund. If the Committee determines that there is a surplus in the Fund it may redirect money in that Fund to the HOPE 2010 Research Fund, the HOPE 2010 Tobacco Prevention and Cessation Fund, or the HOPE 2010 Law Enforcement Fund in the amounts and for the period determined by the Committee*
- (12) *Reimburse the State Board of Equalization for the cost of services required by this Act.*
- (13) *The following activities are inconsistent, incompatible or in conflict with the duties of members of the Committee or its officers or employees:*
 - (A) *Using the prestige or influence of the State or the Committee for the officer's or employee's private gain or advantage or the private gain of another.*
 - (B) *Using state time, facilities, equipment, or supplies for private gain or advantage.*
 - (C) *Using, or having access to, confidential information available by virtue of state employment for private gain or advantage or providing confidential information to persons to whom issuance of this information has not been authorized.*
 - (D) *Receiving or accepting money or any other consideration from anyone other than the State for the performance of his or her duties as a state officer or employee.*

- (E) Performance of an act in other than his or her capacity as a state officer or employee knowing that the act may later be subject, directly or indirectly to the control, inspection, review, audit, or enforcement by the officer or employee.
- (F) Receiving or accepting, directly or indirectly, any gift, including money, or any service, gratuity, favor, entertainment, hospitality, loan, or any other thing of value from anyone who is doing or is seeking to do business of any kind with the officer's or employee's appointing authority or whose activities are regulated or controlled by the appointing authority under circumstances from which it reasonably could be substantiated that the gift was intended to influence the officer or employee in his or her official duties or was intended as a reward for any official actions performed by the officer or employee.
- (G) Subject to any other laws, rules, or regulations as pertain thereto, not devoting his or her full time, attention, and efforts to his or her state office or employment during his or her hours of duty as a state officer or employee.

Pursuant to Section 19990 of the Government Code, The Committee shall adopt rules governing the application of this subdivision, including a provision to provide notice of its requirements to all officers and employees.

- (14) Adopt, amend, and rescind rules and regulations to carry out the purposes and provisions of this chapter, and to govern the procedures of the Committee, in accordance with the provisions of the Administrative Procedures Act (Article 6 (Commencing with Section 11340), Chapter 3.5, Part 1, Division 3, Title 2, of the Government Code).
- (15) Perform all other acts necessary or appropriate in the exercise of its power, authority, and jurisdiction.

(f) Meetings

The Committee, and all subcommittees and advisory bodies created by it, are a "state body" as that term is used in Government Code Section 11121 and all meetings of the Committee, its subcommittees and advisory bodies, shall conform to the provisions of the Bagley-Keene Open Meeting Act (Article 9, commencing with Section 11120, Chapter 1, Part 1, Division 3, Title 2 of the Government Code).

(g) Records

All records of the Committee shall be public records as those terms are defined in the California Public Records Act (Article 1 (commencing with Section 6250), Chapter 3.5, Division 7, Title I of the Government Code) and may only be withheld from public disclosure in accordance with the provisions of that Act.

(h) Conflicts of Interest

(1) Notwithstanding any other provision of law, no member of the Committee, or those persons appointed by Committee members to attend meetings on their behalf, or those officers or employees employed by the Committee, shall participate in an evaluation, review, recommendation, or decision upon an application or proposal for grant or loan, or other distribution of funds by the Committee, if that person has a direct or indirect financial interest in the applicant or the subject of an application or proposal for a grant or loan or other distribution of funds. If such persons have a financial interest in the application or proposal, it shall be publicly announced at the first meeting of the Committee following disclosure of the interest and recorded in the minutes of the Committee meeting. Notwithstanding any other provision of law to the contrary, where such a financial interest is found to exist, upon such disclosure and disqualification, the Committee may otherwise consider and take action upon any application for grant, loan, or other distribution of funds.

(2) No member of the Committee or those persons appointed to attend meetings on their behalf, its staff, contractors, or grant recipients shall receive funding or be employed by persons or business entities engaged in any aspect of tobacco growing, manufacturing, processing, distributing, marketing, or other activities within the tobacco industry.

(3) Nothing herein is intended to limit application of the Political Reform Act (Title 9, commencing with Section 81000, of the Government Code) to the Committee or its officers and employees.

(i) Annual Public Report

The Committee shall issue an annual report to the public which sets forth its activities, grants awarded and in progress, research accomplishments, and future program directions. Each annual report shall include, but not be limited to, the following: the number and dollar amounts of research, facilities and treatment grants; the administrative expenses of the Committee, the Fund, and the State Board of Equalization; and a summary of research findings.

(j) Independent Financial Audit

The Committee shall annually commission an independent financial audit of its activities from a certified public accounting firm. Any firm that provides consulting services to the Committee shall be disqualified from providing audit services. The resulting audit shall be provided to the State Controller, who shall review the audit and annually issue a public report of that review.

(k) Limitation on Administrative Costs

Not more than two percent (2%) of the annual revenues derived from this Act shall be used for the costs of general administration of this Act. The State Controller shall provide the Committee and its Auditor with reports that set forth the allowable costs for general administration. The annual audit shall include a review of the costs of general administration of the Committee, the Fund, and the State Board of Equalization.

§30130.56 Penalties

(a) Each officer or employee of the Committee, and every other person charged with the receipt, safekeeping, transfer, or disbursement of trust funds as defined in this Act, who either:

- (1) Without authority of law, appropriates the same, or any portion thereof, to his or her own use, or to the use of another; or,*
- (2) Loans the same or any portion thereof; makes any profit out of, or uses the same for any purpose not authorized by law; or,*
- (3) Knowingly keeps any false account, or makes any false entry or erasure in any account of or relating to the same; or,*
- (4) Fraudulently alters, falsifies, conceals, destroys, or obliterates any account; or,*
- (5) Willfully refuses or omits to pay over, on demand, any public moneys in his or her hands, upon the presentation of a draft, order, or warrant drawn upon these moneys by competent authority; or,*
- (6) Willfully omits to transfer the same, when transfer is required by law; or*
- (7) Willfully omits or refuses to pay over to any officer or person authorized by law to receive the same, any money received by him or her under any duty imposed by law so to pay over the same;*

(8) Is punishable by imprisonment in the state prison for two, three, or four years, and is disqualified from holding any office in this state.

(b) As used in this section, "public moneys" includes the proceeds derived from trust funds, as defined in this Act and from loans or grants authorized by the Committee from such trust funds.

§ 30130.55 Statutory References

Unless otherwise stated, all references in this Act refer to statutes as they existed on December 31, 2009.

SECTION 4. Severability

If the provisions of this Act, or part thereof, is for any reason held to be invalid or unconstitutional, the remaining provisions shall not be affected, but shall remain in full force and effect and to this end the provisions of this Act are severable.

SECTION 5. Conflicting Measures

- (a) It is the intent of the People that in the event that this measure and another measure relating to the taxation of tobacco shall appear on the same statewide election ballot, the provisions of the other measure or measures shall not be deemed to be in conflict with this measure, and if approved by the voters, this measure shall take effect notwithstanding approval by the voters of another measure relating to the taxation of tobacco by a greater number of affirmative votes.
- (b) If this measure is approved by the voters but superseded by law by any other conflicting ballot measure approved by the voters at the same election, and the conflicting measure is later held invalid, this measure shall be self-executing and given the full force of law.

SECTION 6. Amendments

- (a) Except as hereafter provided, this Act may only be amended by the electors as provided in Article II, Section 10, subdivision (c) of the California Constitution.
- (b) Notwithstanding the provisions of subdivision (a) of this section, not earlier than fifteen (15) years from the effective date of this Act, the Committee, by majority vote of its members, may recommend changes in the structure and operation of the Committee to the Legislature. The Legislature may amend the provisions of Revenue and Taxation Code Section 30130.54 to further the purposes of the Act by a statute passed in each house by roll-call vote entered in the journal, two-thirds of the membership concurring, that is consistent with the recommendations of the Committee.

From: Yerger, Valerie [Valerie.Yerger@ucsf.edu]
Sent: Monday, November 09, 2009 11:38 AM
To: Ong, Michael M.D.
Subject: FW: Sign on letter to FDA

Hello Michael,

TEROC had discussed composing a letter to send to the FDA regarding the Family Smoking Prevention and Tobacco Control Act. In the attached letter, you may find some interesting verbiage that can be incorporated into the TEROC letter regarding the menthol provision.

Valerie

From: Stephenie Foster [mailto:SFoster@legacyforhealth.org]
Sent: Friday, November 06, 2009 2:00 PM
Subject: Sign on letter to FDA

To all,

As attendees of last month's Menthol Conference, we thought you would be interested in signing onto this letter which we plan to send to the FDA asking the FDA to request that tobacco product manufacturers and importers of tobacco products produce all documents related in any way to the health effects and addictiveness of menthol cigarettes as well as consumer perception of the health effects and addictiveness of menthol cigarettes. As you may recall, this idea was raised at the conference by Mitch Zeller and there was a lot of agreement around sending such a letter.

Please let me know by COB Friday, November 13 if your organization wants to sign onto the letter. If you do not represent an organization, but are interested in signing on as an individual, please let me know that as well. If we have individual signatories, we will of course modify the letter to indicate that the letter is from organizations and individuals.

Many thanks,

Stephenie

Please note my new email address below.

Stephenie Foster | Senior Vice President, Government Affairs T 202-454-5559 F 202-454-5773 SFoster@legacyforhealth.org

LEGACY | For Longer Healthier Lives
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Benjamin K. Chu, M.D., M.P.H., M.A.C.P., Chair
President, Southern California Region
Kaiser Foundation Health Plan and Hospital
Pasadena, CA

Susan Curry, Ph.D., Vice-Chair
Dean, College of Public Health
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Division of Dockets Management (HFA-305)
Food and Drug Administration
Department of Health and Human Services
5630 Fishers Lane, Room 1061
Rockville, MD 20852

RE: Docket Number FDA-2009-N-0294

To Whom It May Concern:

The below-signed organizations write to ask the FDA to promptly exercise its authority pursuant to Section 904(b) of the Federal Food, Drug, and Cosmetic Act, as amended by the Family Smoking Prevention and Tobacco Control Act to request that tobacco product manufacturers and importers of tobacco products produce all documents related in any way to the health effects and addictiveness of menthol cigarettes as well as consumer perception of the health effects and addictiveness of menthol cigarettes. This information is essential in order for the FDA and its Tobacco Products Scientific Advisory Committee to fulfill effectively the mandate of the Family Smoking Prevention and Control Act to promptly address and develop recommendations regarding the use of menthol in cigarettes.

As Congress clearly understood, the use of menthol in cigarettes is the cause of very substantial concern. Menthol cigarettes play a major role as a gateway tobacco product for youth with an astonishing 60% of middle school students, nearly 45% of all smokers between 12 to 17 years old, and 35% of smokers between 18 and 24 years old smoking menthol brands. Over thirty years ago when a Lorillard executive famously referred to high school smokers as the base of their business he was referring to the menthol cigarette business. Menthol cigarettes are preferred by 76 percent of African American smokers, 62 percent of Asian American smokers and 29 percent of white smokers. Hispanic smokers are 70% more likely to smoke menthol cigarettes than white smokers.

Moreover, menthol's market share appears to be growing. One study demonstrated a 17.5 percent increase in youth menthol cigarette use between 2000 and 2002. Despite a 22 percent decline in overall packs of cigarettes sold in the United States between 2000 and 2005, menthol sales remained stable. In 2008,



a New York Times article estimated that menthol is a \$19.6 billion industry in the United States.

The success of menthol cigarettes is no accident. Literally, many hundreds of tobacco industry documents conclusively establish that the tobacco industry has for decades systematically developed and marketed menthol products to attract and keep as long-term customers millions of “starter” and youth smokers; minority smokers, particularly African-Americans; and smokers concerned about the health impact of smoking. As just one example, one study found that between 1998 and 2002, *Ebony* was nearly 10 times more likely than *People* to contain ads for menthols, while the Spanish version of *People* was more than twice as likely to contain ads for menthol cigarettes as the English language *People*.

There is limited information in the public domain, however, about the health effects and addictiveness of menthol tobacco products and whether consumers of these products believe they are safer than non-mentholated products. We are very mindful of the deadly fraud perpetrated on the American public in connection with the marketing of “light” and “low-tar” cigarettes. The tobacco industry developed and possessed substantial scientific information demonstrating definitively that these products were no less dangerous than regular cigarettes. Nonetheless, the industry kept that information from the public and public health officials and marketed “light” and “low tar” cigarettes as a safer alternative. We cannot afford to repeat that history. It is essential that as the Scientific Advisory Committee begins its deliberations regarding menthol it have access to the full range of scientific information regarding menthol in the possession of the tobacco industry.

Thank you for the consideration of this request.

Non-advocate Review (NAR) of the Research Grant Program Office (RGPO)

Final report of the NAR Committee

Presented to Vice President for Research and Graduate Studies, Steven Beckwith

November 16, 2009

Table of Contents

I.	Executive Summary _____	2
II.	Introduction _____	6
III.	Office of Research and Graduate Studies (ORGS) and the Research Grants and Programs Office (RGPO) _____	8
IV.	Analysis and Recommendations _____	11
V.	Appendices _____	16
	A. Members of the NAR Committee	
	B. Charge to the NAR Committee	
	C. Agenda for the NAR Committee's meeting at UCOP	
	D. Materials presented to the NAR Committee	

I. Executive Summary

A Non-advocate Review (NAR) Committee has examined the Individual Investigator Award (IIA) programs of the Research Grants Programs Office (RGPO) that is housed in the Office of Research and Graduate Studies (ORGS) led by the Vice President for Research and Graduate Studies (VPR). The charge to the Committee was to examine the IIA programs with respect to quality, efficiency, costs, organization, schedule, and the Statewide Research Programs (SRPs) – the legislatively-mandated California Breast Cancer Research Program (CBCRP), California HIV/AIDS Research Program (CHRP), and Tobacco-Related Disease Research Program (TRDRP) – that the Office administers. Assessment by the Committee of alignment with two prior reports – *Report of the Working Group on the Roles of the Office of the President and Structure, Function, Leadership and Developmental Trajectory for Research Support Functions at the UC Office of the President* (Klein Report) – was also sought, along with responses to Terms of Reference that were provided in the charge.

The Committee read background materials provided by RGPO and met with staff, a consultant, and representatives of Advisory Councils of the SRPs. The unanimous conclusion of the Committee is that considerable progress has been made under the VPR's leadership in implementing an efficient infrastructure for IIA programs. Using a matrix-driven organizational structure that supports innovative streamlining and cost-saving practices, RGPO has achieved impressive transaction efficiencies in its grant-making activities. As examples, administrative costs have been reduced to the order of 1%, workload has been smoothed with staggered calls for proposals, technologies like videoconferencing have been piloted and shown to save reviewer travel and lodging costs, compliance checks have been reduced to their essentials, templates have been standardized, and letters of intent (LOIs) have been used to pre-screen proposals, saving time for principal investigators (PIs) and reviewers.

In addition, the Committee recommends that the SRPs utilize the new streamlined infrastructure for IIA administration. In this process, the committee fully supports maintaining the identities of the SRPs and recommends that the savings gained through administrative streamlining be reinvested in the SRPs to further strengthen the research portfolios of each distinct program. The ability to apply common tools for the administrative management of the programs (e.g., grant submission, budgetary monitoring) is seen as distinctly different from the content expertise and knowledge necessary to assure that the intent of each of the programs is fulfilled. The SRPs have specific objectives that need to be preserved through a collaborative effort between the RGPO leadership and the SRPs, and the Committee believes that an administrative merger will achieve significant economies of scale and can be carried out to everyone's benefit. Furthermore, the Committee believes that there should be a review in the near future of the range of projects and programs that have been funded to determine program elements that should be expanded, those that should be contracted, and those that can be re-deployed to other funding agencies. Given the fiscal climate in which the programs operate, it is prudent to conduct both an internal and external assessment of current and future directions for each of the programs. The Committee recognizes the unique contributions that each SRP has made in advancing a health agenda in the areas of tobacco-related diseases, breast cancer, and HIV/AIDS. In many respects, these exemplary programs have been groundbreaking and have created models that have been replicated domestically and internationally. Some of the

activities initially arising from these research programs have now been adapted by federal and foundation funders and thus provide opportunities for addressing future cutting-edge efforts to shape the SRP fields.

The specific recommendations are as follows and are followed by responses to the Terms of Reference in the charge.

Recommendation - Quality

RGPO should recognize that its awards are leading indicators of research impact and carefully monitor outcomes of the work it supports. RGPO should encourage its awardees to secure additional extramural funding for their projects and track their successes, as this is an important measure of quality. More detailed reviewer feedback to proposers can enhance the quality of funded work and improve the likelihood that projects not funded can secure support either through a subsequent call for proposals or through other funding opportunities. Synergistic interactions across projects in RGPO's award portfolio can be promoted using knowledge management tools. To best leverage its limited funding, RGPO should also consider allocating funds for at least some of its multi-year awards in annual increments based on performance to help ensure accountability, reduce risk, and provide an additional measure of fiscal control over fluctuations in budgets. RGPO's programs should be reviewed every few years to ensure that good investments continue to be made and emerging areas are represented in the research portfolio.

Recommendation - Efficiency

The investments that have led to enhanced efficiency in RGPO grant-making operations need to be extended as quickly as possible through the installation of robust, user-friendly data management systems. Depending upon the frequency with which future RFPs will be issued, there may be further efficiencies in the use of RGPO staff that can be realized.

Recommendation - Costs

RGPO should continue its aggressive drive to reduce costs and to become a paperless, all-electronic office for all stages of its operations, ranging from the issuance of the RFP to the reviewing process through award and data management.

Recommendation – Organization

The flexibility of the matrix-driven organizational structure of RGPO appears to work well for administering IIAs. RGPO leadership will need to adjust the staffing needs and tasks as demands on the Office change over time. Providing staff with professional development is important and can be accomplished through cross- and external training opportunities and the ongoing introduction of new technologies.

Recommendation – Schedule

The current, rapid rate through which the IIA programs have been implemented should be maintained, providing that risks are duly considered and adequate consultation with the community of stakeholders associated with each program occurs.

Recommendation – Statewide Research Programs

The IIA component of the SRPs should be integrated within the matrix-driven infrastructure for IIAs that currently exists in RGPO, while also fully acknowledging the distinct content of each of the program areas. The merger needs to be a strong collaboration with RGPO leadership that respects differences in reviewing processes relative to the UC programs so as to enable the SRPs to continue to function holistically to meet their objectives, which include community outreach efforts. The recommended integration will result in reduced administrative costs. Using existing cost allocation methods, these cost savings can be used by each SRP to directly support its mission. A more comprehensive follow-up review of the strengths, contributions, and limitations of the SRPs should be conducted to establish programmatic priorities in light of state fiscal realities and existing alternative sources of funding.

Terms of Reference

- *Alignment of the RAGO objectives with the UCOP report of the Working Group on the Roles of the Office of the President and with the recommendations outlined in the Klein Report*

The Committee believes that substantial progress has been made and credits the VPR for his leadership of this process.

- *Ability of the planned approach to meet the needs of the research programs and the requests of the State legislature where appropriate*

Current research programs appear to be well served by the changes in RGPO that have been implemented, even with overall reductions in administrative infrastructure. The Committee is unable to provide a comprehensive response regarding the requests of the State legislature and recommends that a subsequent review be conducted.

- *Ability to provide premier grant application support and independent peer review services*

The Committee applauds the innovations that have been introduced to facilitate the creation of a strong IIA portfolio. As administrative roles and responsibilities are consolidated, the Committee anticipates that staff members with SRP-related expertise can continue to respond effectively to any concerns expressed by stakeholder groups and to assist with defining future directions where each of the SRPs can make the greatest impact.

- *Adequacy and availability of resources and budget to carry out these functions*

Resources and budget appear to be commensurate with the current level of IIA activity.

- *Adequacy of risk identification, mitigation and management planning for distribution of research funds*

RGPO has moved aggressively, yet been mindful of the need for ongoing consultation with key stakeholder groups. Consultation will continue to be important as further planning is undertaken.

- *Adequacy of the schedule for implementing new organizational structures and processes*

The Committee encourages RGPO to continue its ambitious efforts to implement the proposed organizational structures and processes as quickly as possible, consistent with adequate consultation and with assessment of the activities and contributions associated with each of the programs that RGPO is administering.

II. Introduction

Two reports – *Report of the Working Group on the Roles of the Office of the President*, also called the Roles Report, <http://www.universityofcalifornia.edu/future/roleofOPrpt.pdf>; and *Structure, Function, Leadership and Developmental Trajectory for Research Support Functions at the UC Office of the President*, also called the Klein report, [http://research.ucsd.edu/documents/UCOPFall2009/Klein_Report\(final_report_of_research_review\)January17,2007.pdf](http://research.ucsd.edu/documents/UCOPFall2009/Klein_Report(final_report_of_research_review)January17,2007.pdf) - provide the foundation for the Office of Research and Graduate Studies (ORGS) at the UC Office of the President (UCOP). The Roles Report recognizes the University of California as "...the designated research university within the public higher-education system of the state of California,"... "with responsibilities to the people of the state of California for advancing their welfare as well as pursuing scholarly and scientific inquiry." The Klein report identifies research – the creation, communication, and curation of new knowledge – as "...the fundamental enterprise of the University of California. It is enshrined in California's Master Plan for Higher Education as the hallmark of the University's distinctiveness, and by any measure, the foundation of its global pre-eminence."

The Klein Report notes that research programs are an important way in which the University of California supports research. To quote from the report, UCOP can:

- support and take part in plans to initiate multi-campus research;
- administer research programs on behalf of third-party funders, including the state legislature (e.g., breast cancer [, tobacco,] and AIDS research programs) or corporate entities (e.g., California Institute for Energy and the Environment)"

A Non-advocate Review (NAR) was requested by UC Vice President for Research and Graduate Studies (VPR) Steven Beckwith to provide impartial feedback on the reorganization of the Office of Research and Graduate Studies (ORGS), specifically as it impacts the research programs that UCOP administers. These programs disburse on the order of \$100M annually. A NAR Committee, whose membership is presented in Appendix A, was formed, and the charge to the Committee appears in Appendix B. The Committee met at UCOP on October 27, 2009 with UCOP staff in the Office of Research and Graduate Studies (ORGS), a consultant, and with leaders of the Statewide Research Programs (SRPs) that ORGS administers. An agenda for the meeting and materials presented to the NAR Committee are provided in Appendices C and D, respectively.

Some additional context for the NAR Committee's work is found in the recommendations that are presented in the Klein Report. Those that directly involve the NAR Committee are highlighted below, and the Committee is pleased to note that much of the implementation has already been accomplished:

- Leadership – Appointment of a VPR, who works with the UC Council of Vice Chancellors for Research (COVCR) and Senate leaders, was achieved with VPR Beckwith's arrival at UCOP in early 2008.

- Strategic planning – “future directions for, and support of, system-wide and multi-campus research efforts” has been undertaken, as will be described below.
- Scope of the Office of Research – The co-location in ORGS of the Office of Technology Transfer; the Research Administration Office; Industry-University Cooperative Partnership Program, with its Discovery program; Graduate Studies; and National Laboratory connections (coordination of campus-national laboratory research opportunities and of the allocation of Laboratory management fees to UC campuses) represents a significant step forward.
- Organizational Efficiency – The report notes that there are “Multiple redundant and often sub-optimized administrative, business, and service infrastructures, notably with regard to that infrastructure involved in:
 - supporting sponsored research projects (those involving grant-making functions);
 - communication; and
 - basic IT support.”
 As will be described below, the NAR Committee believes that significant gains in organizational efficiency have been made under the VPR’s leadership and through the efforts of an outstanding staff.
- Strategic communications – Although not a specific part of the NAR Committee’s charge, the unification of many research-related activities in ORGS has helped UCOP more clearly identify a single point of contact for research-related information.
- Research programs – The report encourages a more strategic approach to both the campus-based research efforts and Statewide Research Programs (SRPs) that UCOP supports. The NAR Committee believes that there is a strong foundation on which to build, as described below.
- Continuous assessment – The suggested biennial or triennial review of ORGS’s planning and support functions has already begun with an earlier study of the Multi-campus Research Unit (MRU) Program, which led to the new Multi-campus Research Programs and Initiatives (MRPI), and this Non-advocate Review.

The NAR Committee’s charge dealt with a relatively narrow part of ORGS’s grant-making process, which is administered through its Research Grants and Programs Office (RGPO). A consultant to the effort treated this as a five-step process: 1) defining program direction with attendant planning; 2) conducting applicant outreach and soliciting and reviewing proposals; 3) funding and monitoring grants; 4) providing dissemination of research results and promoting translation; and 5) conducting program evaluation. The NAR Committee focused principally on steps 2) and 3) as they relate to a current suite of 7 programs administered by ORGS. These are key steps, however, since they directly relate to ORGS’s connections with the community it serves as well as the ability to make the best possible financial investments with the limited resources available. The NAR Committee’s objective is to provide constructive feedback on these critical steps, considering elements of quality, efficiency, costs, organization, and

schedule; for the SRPs, the Committee also recognizes the need to ensure that specific content expertise is not compromised so that the intentions of these legislatively-mandated programs can be fulfilled. The Committee used the Terms of Reference that appear in the charge below:

- *Alignment of the RGPO objectives with the UCOP report of the Working Group on the Roles of the Office of the President and with the recommendations outlined in the Klein Report*
- *Ability of the planned approach to meet the needs of the research programs and the requests of the State legislature where appropriate*
- *Ability to provide premier grant application support and independent peer review services*
- *Adequacy and availability of resources and budget to carry out these functions*
- *Adequacy of risk identification, mitigation and management planning for distribution of research funds*
- *Adequacy of the schedule for implementing new organizational structures and processes*

III. Office of Research and Graduate Studies (ORGS) and the Research Grants and Programs Office (RGPO)

The VPR began a reorganization of the Office of Research and Graduate Studies (ORGS) shortly after his arrival in early 2008. One of the key recommendations from the Klein Report was to:

“Create a single research programs office. This would enable harmonization of basic business, administration, and grant-making practices while enabling programs to maintain their distinctiveness.”

The Research Grants and Programs Office (RGPO) was established by the VPR to manage the many kinds of transactions that characterize a grants-making operation on the scale of \$100M in awards annually within a single administrative unit. It currently comprises 58 FTEs.

The current suite of 7 programs administered by RGPO is diverse and includes 4 UC programs that account for about two-thirds of the funding. These are the Multi-campus Research Programs and Initiatives (MRPI) that promote collaborations across UC campuses; the Lab Fees program that uses fees from UC-linked national laboratories to form partnerships between national laboratory and UC researchers; the Discovery Program that requires collaborations of UC researchers with industrial partners; and the Canada-California Strategic Innovation Partnership (CCSIP), which is a small, two-year program designed to promote partnerships between UC and Canadian scholars.

The remaining 3 programs that account for about one-third of RPO funding are the Statewide Research Programs (SRPs): The California Breast Cancer Research Program (CBCRP), California HIV/AIDS Research Program (CHRP), and Tobacco-Related Disease Research

Program (TRDRP), all of which are mandated by the California state legislature. These programs have existed for several decades and have been highly valued by many researchers, program directors, and citizens who have benefited from them. Advocates, in fact, actively participate in the grant review process. Awards are intended to complement what is available from federal, state, and private foundation sources of funding in related areas. In addition to “individual investigator awards” (IIAs) that are also offered by the 4 UC programs, the SRPs offer “community-based awards” and “program-directed awards”. The former involve projects led by community organizations and the latter reflect priorities established by the leadership of the SRP that can, for example, be targeted to fill a specific gap in existing knowledge. Although these two classes of awards represent a smaller proportion of the SRP research portfolio (about 30% of the contracts and transactions across the three SRPs), they support a goal of the SRPs to not only conduct research, but to broadly disseminate the research findings and translate them so as to improve public health. Examples have included studies of the fiscal impact of a state AIDS-related health policy and the environmental impact of tobacco products. Unlike the 4 UC programs, awards can be made to organizations that are not affiliated with UC. The SRPs also make extensive use of subject matter experts (SMEs) among the RGPO staff that help manage these programs.

These 7 RGPO-managed programs have diverse histories and thus not surprisingly are characterized by various funding amounts and review cycles, as shown in Appendix D. To seek economies of scale, the RGPO has used a matrix-like organizational approach to administer the four UC programs. In particular, a research Program Application and Review Center (PARC) and Program Award Administration Center (PAAC) have been created. This allows staff teams to be deployed as needed for various competitions that may overlap in time, as described below. For each UC program, a RFP is prepared by the RGPO with external input, applications are received and processed using Central PROPOSAL software, peer reviewers are identified and brought together either in person at UCOP or, more recently, networked using iLink software, and funds are disbursed based on reviewer recommendations.

In the course of administering the four UC programs over the past year, RGPO has worked strategically. The Office has developed new RFPs for the Lab Fees and MRPI competitions with VCR and UC Senate input and has created CCSIP at the request of the UC President as an entirely new kind of bi-national program. Collectively, the four UC programs have spanned the breadth of cutting-edge disciplinary and interdisciplinary scholarship, including the arts and humanities. Reviewers were identified by experts from advisory councils, the Senate, VCRs and UC faculty. It is also noteworthy that after multiple review panels, based on different disciplinary expertise, completed their reviews, an additional final round of review across the panels was conducted to ensure that the overarching program goals were being fulfilled and that funding was appropriately balanced across the research portfolio.

The UC programs have been administered with costs in the range of \$150k to \$300k per review cycle, using 3 dozen to 5 dozen reviewers. Data presented to the NAR Committee indicated that the administrative costs for most of these programs have been on the order of 1%. Reviewer costs have been substantially lowered by use of technology and revised processes. In two UC program reviews, iLink software was used to permit reviewers to videoconference from remote locations, eliminating travel and lodging costs. In fact, iLink has now been used

by the COVCR and other UCOP units. The initial success of this technology provides a solid basis for its future, wider usage, thus contributing to further cost savings in this administrative function.

The SRPs have also reduced reviewing costs by modifying their use of reviewers. The number of reviewers and meeting days has been reduced, and less expensive venues are being used to dramatically reduce costs. The CHRP presented a detailed analysis of their priorities, including which elements of their program to discontinue, which also led to cost savings through a reduced FTE count.

Streamlining of processes has occurred in multiple ways. First, by staggering the times at which the various UC competitions occur, the PARC staff can be used in a team-based approach to flexibly cover all reviews; boluses of intense activity and periods of relative inactivity that ineffectively use staff are smoothed. Second, "fast-tracked" compliance checks for awardees whose organizations have this capability vested in, for example, Institutional Review Boards (IRBs) and Institutional Animal Care and Use Committees (IACUCs) helps eliminate RGPO work. Third, standardized templates are increasingly being used to assist PIs with providing required information. Fourth, detailed budgets are not requested of PIs and their campus offices until an award is to be made. Finally, transfer of funds to collaborative projects is done centrally, minimizing the number of such transfers.

The percentage of proposals funded for the 4 UC programs has been on the order of 10% to 40%, consistent with national norms for highly competitive funding programs like those of NSF and NIH. Further efficiencies in PI and staff time may be realized by implementing a self-triage strategy that was piloted with the CCSIP competition. Based on the Letter of Intent (LOI) that PIs submitted, they were given one of three messages: their proposal was on the mark and they were encouraged to submit a full proposal; there was some uncertainty about whether the proposal met the RFP criteria, causing the PI to be advised to ensure that the full proposal would need to meet the criteria; or the proposal was off the mark. This led to fewer, but better proposals, enabling more thorough reviews, improved feedback for the PIs, and a higher success rate.

Some reviewer feedback was provided to the NAR Committee. Reviewers appeared largely satisfied with the process and most agreed to serve again if asked. Those who participated by videoconference were able to keep the camera that was provided for use with the software. This represents a relatively small expense compared to travel and per diem costs and is a good investment if it increases the likelihood that the individual will again serve as a reviewer. In addition, some reviewers receive modest honoraria, which may also help with recruitment and retention of reviewers.

The 7 UC programs generate substantial amounts of data related to the reviewing process and award information. Currently, paper is still used in some programs, for reasons related to earlier audit rulings. Databases in use like GRAIL and GMS were described as archaic. The Proposal CENTRAL system used for collecting proposals does not interface with these and other UC systems.

IV. Analysis and Recommendations

The NAR Committee unanimously and enthusiastically commends VPR Beckwith and his staff for the reorganization that has taken place thus far in RGPO in a relatively short time. There is a clear commitment to determining how RGPO can add value to UC's individual investigator award (IIA) programs using UC administrative and researcher input, analyses of the processes involved, and electronic tools. For the SRPs, the community-based and program-directed awards, while a smaller part of the overall portfolio (about 30% of the contracts and transactions across all three programs), will likely require additional oversight to assure desired outcomes. IIAs within each of the three SRPs function in a more parallel manner to IIAs within the UC programs and can have greater administrative overlap. Within the 4 UC programs – MRPI, Lab Fees, Discovery, and CCSIP – the quality, efficiency, costs, organization and schedule lead the Committee to the following observations and recommendations:

Quality:

The structure, operation, and plans for the IIAs are effectively promoting investment in cutting-edge research. RGPO's ability to recruit leading experts for peer review meets the standard for a quality reviewing process, and the UC program funding percentages of 10% to 40% are in alignment with national norms for highly competitive funding programs. Funds are allocated across many traditional disciplines, including some like the arts and humanities, for which funding is difficult to obtain from extramural sources, as well as in emerging interdisciplinary fields. One area where, anecdotally, improvement is needed is feedback to PIs. Whether a PI's proposal is successful or not, detailed feedback can help improve a funded project or guide a subsequent submission of an unfunded project.

The awards that RGPO makes are leading indicators of research impact. To further leverage its resources, RGPO should work with PIs to help them parlay their funding into additional and more sustained funding from extramural sources. Those successes should be tracked as a measure of the quality and impact of the programs, along with other forms of recognition that the work receives, such as awards, publications in peer-reviewed journals, and incorporation, for example, into state policies and regulations. Use of knowledge management tools could enable RGPO to identify synergies across its portfolio of awards that could lead to new opportunities for PIs. This could be particularly valuable if UC identifies specific areas for investment, as the COVCR has been proposing. For multi-year awards, RGPO currently appears to provide all the funds at the onset of the award, sometimes called a standard grant. If it can be done, there is an advantage to requesting brief annual reports and providing funding increments annually based on those reports, so-called continuing grants, which help ensure PI accountability and reduce risk in the event of such circumstances as an unproductive project or the loss of key PIs from the UC system, in the case of UC awards. Some funding agencies also use a mix of standard and continuing grants as a means of buffering changes in annual budgets.

The Committee recommends that programs be reviewed every few years as is done by Committees of Visitors for agencies such as NSF to ensure that good investments continue to be made.

Recommendation - Quality

RGPO should recognize that its awards are leading indicators of research impact and carefully monitor outcomes of the work it supports. RGPO should encourage its awardees to secure additional extramural funding for their projects and track their successes, as this is an important measure of quality. More detailed reviewer feedback to proposers can enhance the quality of funded work and improve the likelihood that projects not funded can secure support either through a subsequent call for proposals or through other funding opportunities. Synergistic interactions across projects in RGPO's award portfolio can be promoted using knowledge management tools. To best leverage its limited funding, RGPO should also consider allocating funds for at least some of its multi-year awards in annual increments based on performance to help ensure accountability, reduce risk, and provide an additional measure of fiscal control over fluctuations in budgets. RGPO's programs should be reviewed every few years to ensure that good investments continue to be made and emerging areas are represented in the research portfolio.

Efficiency:

The Committee applauds the innovations that have been introduced thus far for managing its IIA operations more efficiently. The use of a matrix-driven organizing principle for teams of staff provides greater flexibility in responding to different kinds of operational needs. Staggering of RFPs, "fast-tracking" compliance checks where the risk is minimal, using standardized templates, requesting detailed budgets only for awards, and centralizing fiscal transfers have all led to marked improvements in efficiency. Similarly, use of LOIs to enable PIs to self-triage saves considerable time for PIs and reviewers; in the future, RGPO should make this strategy explicit in its RFPs, as some PIs, the Committee learned, were unaware of it.

An area where improvements are needed urgently is data management. Investments need to be made in data systems that are user-friendly and interoperable. Data preservation should also be considered, as some agencies are requiring that data be preserved for periods of years. The Committee can also anticipate that the large amounts of data that will be generated as part of some RGPO awards will require a robust research cyberinfrastructure (RCI). A current UC RCI initiative may be of assistance, and partnering with the California Digital Library could be helpful. The Committee infers that some of the 4 UC programs will only be issuing calls every few years. If that is the case, this may provide other opportunities for more efficient use of staff to enhance other research objectives.

Recommendation - Efficiency

The investments that have led to enhanced efficiency in RGPO grant-making operations need to be extended as quickly as possible through the installation of robust, user-friendly data management systems. Depending upon the frequency with which future RFPs will be issued, there may be further efficiencies in the use of RGPO staff that can be realized.

Costs:

The recent changes in RGPO operations for IIAs have been extraordinarily cost-effective. The relatively recent adoption of iLink software for some competitions to eliminate reviewer travel and lodging costs is a particularly noteworthy development. Data provided by RGPO indicate that administrative costs for the UC programs have mostly been at approximately the 1% level. This is

impressive and compares favorably with agencies like NSF for which the administrative cost is about 5%. The SRPs are at a level closer to the 5% mark that has been legislatively mandated and have made significant progress in reducing costs by identifying priorities and by reducing the number of reviewers, the time devoted to reviews, and the cost of the venue used for reviewing. RGPO seems close to becoming a paperless, all-electronic operation. The Committee encourages this trajectory. Paper is still being used in some cases for voting in connection with reviewing because of an audit ruling. This should be investigated and the use of paper eliminated if at all possible. As RGPO begins to develop plans for managing and monitoring its awards, there should be additional opportunities for cost savings that should be sought.

Recommendation - Costs

RGPO should continue its aggressive drive to reduce costs and to become a paperless, all-electronic office for all stages of its operations, ranging from the issuance of the RFP to the reviewing process through award and data management.

Organization:

The matrix-driven structure, operation and plans for the RGPO IIAs are relatively new and clearly require ongoing oversight by the Office's leadership. Although the Committee was invited to provide advice on the distribution of labor between the Program Application and Review Center (PARC) and Program Award Administration Center (PAAC), the Committee felt that this would be difficult to do with the limited time and information available and chose not to do so. The Committee's sense was that the responsibility, accountability and decision-making, as well as the level of collaboration among various funding programs with regard to how resources are allocated, is heavily dependent on all members carrying out effectively whatever range of tasks is assigned to them. The Committee was impressed by how well the RGPO seems to operate and by the level of enthusiasm of staff who spoke about the changes that are underway, suggesting that this kind of matrix-driven organization is operating effectively. The breadth of activities associated with the RGPO and their tight coupling to new technologies should provide an excellent pathway for ongoing professional development.

Recommendation – Organization

The flexibility of the matrix-driven organizational structure of RGPO appears to work well for administering IIAs. RGPO leadership will need to adjust the staffing needs and tasks as demands on the Office change over time. Providing staff with professional development is important and can be accomplished through cross- and external training opportunities and the ongoing introduction of new technologies.

Schedule:

The Committee believes that the plans and timeline for implementation of additional changes to the management of the RGPO IIA programs are appropriately aggressive so long as risks are adequately considered and there is adequate time for consultation with key stakeholders.

Recommendation – Schedule

The current, rapid rate through which the IIA programs have been implemented should be maintained, providing that risks are duly considered and adequate consultation with the community of stakeholders associated with each program occurs.

Statewide Research Programs:

The Committee recognizes the considerable stature and accomplishments of the SRPs and appreciates the level of legislative and public commitment associated with them. As RGPO contemplates additional changes, it needs to preserve the holistic nature of the SRPs and not compromise their ability to carry out the full spectrum of their IIA, community-based, and program-directed activities. The Committee believes that this is a responsibility shared between the RGPO leadership and the SRPs and their Advisory Councils, who report annually to the legislature.

Based on its study, the Committee believes that the IIA activities of the SRPs should be combined with the matrix-driven part of RGPO that is managing all of the other IIAs. The merger needs to be conducted through a strong partnership with the RGPO leadership in a manner that respects differences in process between the UC programs and SRPs; for example, the review process for the SRPs draws on staff with subject matter expertise and includes advocates. If grant administrative responsibilities are consolidated, it may provide a unique opportunity for existing staff to provide more intensive technical assistance to raise the quality of proposals being submitted, particularly for community-based proposals and proposals associated with emerging issues.

Consolidation will achieve economies of scale that will reduce the costs of the SRPs. The SRPs should be charged only for what they use of the IIA infrastructure, and the full savings should be recouped by the SRPs and reallocated with input from their Advisory Councils to best meet SRP objectives. The Committee anticipates that utilization of the more efficient matrix-driven administrative infrastructure will lead to an enhanced research portfolio through anticipated cost savings. It will also provide some protection for the SRPs to weather potential reductions in funding in the current economic climate. The Committee felt that it was not adequately informed to be able to evaluate the non-IIA elements of the SRPs and suggests a more comprehensive follow-up study in the near future to provide a suitable evaluation.

Recommendation – Statewide Research Programs

The IIA component of the SRPs should be integrated within the matrix-driven infrastructure for IIAs that currently exists in RGPO, while also fully acknowledging the distinct content of each of the program areas. The merger needs to be a strong collaboration with RGPO leadership that respects differences in reviewing processes relative to the UC programs so as to enable the SRPs to continue to function holistically to meet their objectives, which include community outreach efforts. The recommended integration will result in reduced administrative costs. Using existing cost allocation methods, these cost savings can be used by each SRP to directly support its mission. A more comprehensive follow-up review of the strengths, contributions, and limitations of the SRPs should be conducted to establish programmatic priorities in light of state fiscal realities and existing alternative sources of funding.

The explicit charge to the NAR Committee comprised the Terms of Reference in italics below. The Committee addresses each of these as follows:

- *Alignment of the RPGO objectives with the UCOP report of the Working Group on the Roles of the Office of the President and with the recommendations outlined in the Klein Report*

The Committee believes that substantial progress has been made and credits the VPR for his leadership of this process.

- *Ability of the planned approach to meet the needs of the research programs and the requests of the State legislature where appropriate*

Current research programs appear to be well served by the changes in RGPO that have been implemented, even with overall reductions in administrative infrastructure. The Committee is unable to provide a comprehensive response regarding the requests of the State legislature and recommends that a subsequent review be conducted.

- *Ability to provide premier grant application support and independent peer review services*

The Committee applauds the innovations that have been introduced to facilitate the creation of a strong IIA portfolio. As administrative roles and responsibilities are consolidated, the Committee hopes that staff members with SRP-related expertise can continue to respond effectively to any concerns expressed by stakeholder groups and to assist with defining future directions where each of the SRPs can make the greatest impact.

- *Adequacy and availability of resources and budget to carry out these functions*

Resources and budget appear to be commensurate with the current level of IIA activity.

- *Adequacy of risk identification, mitigation and management planning for distribution of research funds*

RGPO has moved aggressively yet been mindful of the need for ongoing consultation with key stakeholder groups. Consultation will continue to be important as further planning is undertaken.

- *Adequacy of the schedule for implementing new organizational structures and processes*

The Committee encourages RGPO to continue its ambitious efforts to implement the proposed organizational structures and processes as quickly as possible, consistent with adequate consultation and with assessment of the activities and contributions associated with each of the programs that RGPO is administering.

Acknowledgments

The NAR Committee is grateful to VPR Steven Beckwith, Deputy to the VPR Jenny Gautier, consultant Shelley Sweet, George Lemp from CHRP and TRDRP, Marion Kavanaugh-Lynch from CBCRP, Bart Aoki from CHRP, Kathleen Erwin from the Program Application and Review Center (PARC), Rikki Baum from the Program Award Administration Center (PAAC), and Jessie Catacutan from RGPO Administration for their assistance in preparing materials for the Committee's use and the presentations that they made. We also thank the representatives of the SRPs – Klaus Porzig and Jeanne Rizzo from the CBCRP Advisory Council, Constance Benson from the CHRP Advisory Council, and Randall Stafford from the TRDRP Scientific Advisory Council - who took the time to meet with us to share their perspectives on the SRPs.

V. Appendices

Appendix A. Members of the NAR Committee

Dr. E. Allen Adler, Boeing Company, physicist, former DARPA program officer

Dr. Claire Brindis, MD, Professor of Health Policy and Director of the Philip R. Lee Institute for Health Policy Studies, School of Medicine, University of California, San Francisco.

Dr. Susan Bryant, Vice Chancellor for Research at UCI, biologist, member NSF Biological Sciences Advisory Committee

Dr. Arthur B. Ellis, Chair, Vice Chancellor for Research at UCSD, chemist, former division director at the National Science Foundation

Dr. Diane Havlir, MD, Professor of Medicine at UCSF and Chief, HIV/AIDS Division at San Francisco General Hospital

Ms. Kacy Hutchison, Director, Government Affairs, Gilead Sciences, Inc. and former deputy legislative affairs secretary in California Governor Schwarzenegger's administration

Dr. Michael Witherell, Vice Chancellor for Research at UCSB, physics, former director of DOE Fermi Laboratory and former chair, NSF Mathematical and Physical Sciences Advisory Committee

Appendix B.

UC Office of Research and Graduate Studies Non-Advocate Review of Research Grant Programs Office Charge to the Committee

Background and Purpose

The UC Office of the President (UCOP) is restructuring its organization and processes to take advantages of economies from combining previously separate program units in one office, the Office of Research and Graduate Studies (ORGS). The goal of the restructuring is to align the goals, functions and activities in UCOP with a set of strategically defined roles and responsibilities of the UC President. Two reports, *Working Group on the Roles of the Office of the President* (RolesReport.pdf) and *Structure, Function, Leadership, and Developmental Trajectory for Research Support Functions at the UC Office of the President* (Klein Report 2007.pdf), are guiding documents for the restructuring process. The second report recommended the creation of the ORGS, which is now led by the Vice President for Research and Graduate Studies, Steven Beckwith. These documents serve as reference points for the Non-Advocate Review (NAR) of research operations.

The Klein Report uncovered a number of opportunities for organizational efficiencies made possible by aggregating research programs in a single office, including the elimination of multiple redundant and often sub-optimized administrative, business, and service infrastructures involving grant-making and oversight functions. The Report recommended consolidating these units into a single office to enable the harmonization of basic business, administration, grant-making and oversight practices and allow flexibility to improve efficiencies without larger organizational restructuring.

ORGS now combines the various research programs housed in UCOP that distribute research grants. Overall, ORGS distributes approximately \$100M/yr to UC campuses and other institutions. Two-thirds of these funds come from UC's budget and are distributed to UC campuses only under various research initiatives. The other one-third comes from three programs overseen by UC at the request of the California legislature (the Statewide Research Programs, or SRPs). These programs arose at different times and previously resided in the UCOP Office of Health Affairs.

To realize the efficiencies identified by the Klein Report, ORGS created the Research Grants Programs Office (RGPO) to support the grant programs within UCOP. To date, over 25 ORGS staff and managers have participated in working groups to recommend new organizational structures and processes that led to the creation of RGPO. The RGPO has now restructured the UC grant programs and carried out three reviews to date using new processes for proposal review. The SRPs have yet to be fully integrated into the new system and continue to exist as largely stand-alone units, pending a review by the NAR committee.

Charge to the Committee

The Non-Advocate Review (NAR) Committee will assess the efficacy of the current reorganization as well as the outcomes from recent research awards with respect to quality, cost, and efficiency of UC's research funding approaches and determine if continued reorganization of the remaining programs will

result in overall benefits to the programs. The Committee will consider, but not be limited to, the following criteria when evaluating the RGPO:

- Alignment of the RAGO objectives with the UCOP report of the Working Group on the Roles of the Office of the President and with the recommendations outlined in the Klein Report;
- Ability of the planned approach to meet the needs of the research programs and the requests of the State legislature where appropriate;
- Ability to provide premier grant application support and independent peer review services;
- Adequacy and availability of resources and budget to carry out these functions;
- Adequacy of risk identification, mitigation and management planning for distribution of research funds;
- Adequacy of the schedule for implementing new organizational structures and processes.

Below are some questions the Committee may consider to aid its overall assessment of the proposed RGPO structure, operations and plans.

On Quality:

Do the structure, operation, and plans for the RGPO investigator-initiated research awards promote quality distribution and management? What are the most important measurements/metrics for RGPO to monitor to ensure quality? Will the quality of service for the distribution and management meet or exceed national standards for the research programs? Have the RGPO plans adequately addressed risks to quality in the distribution and management of awards?

On Efficiency:

Are the recent RGPO operations for investigator-initiated awards efficient? Are there further efficiencies to be gained through process standardization, streamlining, technology improvements, or other suggested changes? Have the RGPO plans adequately addressed risks to efficiency in the distribution and management of awards?

On Costs:

Are the recent RGPO operations for investigator-initiated awards cost-effective? Are there further cost-savings to be gained? Have the RGPO plans adequately addressed costs of the distribution and management of awards and programs?

On Organization:

Do the structure, operation, and plans for the RGPO investigator-initiated research awards provide clarity of responsibility/accountability and decision-making? Foster/support collaboration among various funding programs with regard to how resources are allocated? Offer career opportunities and professional development/growth path for employees? Provide appropriate (right-sized) staffing and resources?

On Schedule:

Are the plans and timeline for further implementation of changes to the RGPO investigator-initiated research award distribution and management adequate? Have the RGPO plans adequately addressed risks in schedules for implementation?

On Statewide Research Programs:

Does the organizational structure for RGPO provide the resources and support necessary to achieve the legislated program goals? Does the design include the important areas of program support? Does the structure, operation, and plans for RGPO allow for adequate planning to align with program goals and vision?

The Committee will determine its decision-making process, work schedule, and meeting mechanics to meet its objective prior to delivering a report on the new RGPO structure in the fall of 2009. We ask the members to seek consensus about recommendations when possible and clearly articulate the range of views when consensus is not possible. The Committee may suggest revisions of the Charge prior to its first meeting.

The NAR will prepare a written report identifying issues and recommendations, including the range of views and rationales when consensus is not possible. Any comments or recommendations by the NAR beyond the charge will be welcome as a supplemental letter to the main report. Once the report has been accepted, the Committee's work will have been completed.

Appendix C.

Tuesday, October 27, 2009
512 Kaiser Center
300 Lakeside Drive, Oakland, CA 94612

Chair: Arthur Ellis, PhD

AGENDA

8:15 am	Arrival & Coffee	
8:30 am	Meeting Convenes <i>Welcome and Introductions</i>	Steven Beckwith & Art Ellis
8:45 am	<i>Background of RGPO and Purpose for NAR</i>	Steve Beckwith
9:15 am	<i>RGPO Processes – Analysis and Findings</i> Investigator-Initiated Research Awards	Shelley Sweet <i>(External Consultant)</i>
10:00 am	Break	
10:10 am	<i>Investigator-Initiated Research Awards</i> UC Grant Operations IIRA Model and End State Options IIRA Phasing and Process Planning RGPO Systems Requirements	<i>RGPO Leadership:</i> Kathleen Erwin Marion Kavanaugh-Lynch George Lemp & Bart Aoki Rikki Baum & Jessie Catacutan
11:30 am	Working Lunch <i>Chair-facilitated Discussion (consultant and staff available for questions/data upon request)</i>	Art Ellis & NAR team
1:00 pm	NAR Executive Session (<i>Closed</i>). <i>NAR Assessment of IIRA</i>	NAR
1:30 pm	<i>Focus on Statewide Research Programs</i> Finding and Analysis – Community-based & Directed Research; Strategic Planning; Dissemination; Evaluation <i>Comments from Advisory Councils</i> California Breast Cancer Research Council	Shelley Sweet Klaus Porzig, MD, Chair Jeanne Rizzo, RN,
	Advocate/Survivor CHRP Advisory Council TRDRP Scientific Advisory Council	Constance Benson, M.D., Chair Randall Stafford, M.D., Ph.D.,
	Chair <i>Comments from Statewide Program Directors</i> California Breast Cancer Research Program CHRP and TRDRP	Marion Kavanaugh-Lynch George Lemp & Bart Aoki
2:45 pm	Break	
2:55 pm	Summary of RGPO Status and Plans <i>(staff available for questions/data upon request)</i>	Steve Beckwith

3:15 pm NAR Executive Session (*Closed*) NAR
 NAR Assessment of RGPO

4:00 pm Formal Panel Adjourns
 NAR Discussions may continue to 5:00 pm (optional)

Appendix D.

Materials presented to the NAR Committee

Steven Beckwith, Vice President for Research and Graduate Studies

http://research.ucsd.edu/documents/UCOPFall2009/NAR_Introduction_SB_09Oct27_FINALv2.pdf

Shelley Sweet, Consultant

http://research.ucsd.edu/documents/UCOPFall2009/RGPO_preso_SS_verfinal.pdf

Kathleen Erwin, Director of the Program Application and Review Center (PARC)

http://research.ucsd.edu/documents/UCOPFall2009/NAR_UC_Grants_Slides-10_27_09_ERWIN_final.pdf

George Lemp, Director of the California HIV/AIDS Research Program and Interim Director of the Tobacco Related Disease Research Program; Marion (Mhel) Kavanaugh-Lynch, Director of the California Breast Cancer Research Program; Rikki Baum, Director of the Program Award Administration Center (PAAC) in RGPO; Jessie Catacutan, Financial Manager of RGPO

http://research.ucsd.edu/documents/UCOPFall2009/RGPO_NAR_Models_26Oct2009_FINAL_mkl_jdg.pdf

Klaus Porzig, California Breast Cancer Research Program (CBCRP)

http://research.ucsd.edu/documents/UCOPFall2009/CBCRP-Porzig_NAR_FINAL.pdf

Constance Benson, California HIV/AIDS Research Program

http://research.ucsd.edu/documents/UCOPFall2009/CHRP_NAR_Presentation_FINAL_for_copies.pdf

Randall Stafford, Tobacco-Related Disease Research Program

http://research.ucsd.edu/documents/UCOPFall2009/TRDRP_NAR_Presentation_FINAL_for_copies.pdf