STATE OF CALIFORNIA
TOBACCO EDUCATION AND RESEARCH OVERSIGHT COMMITTEE

TEROC

Incoming Correspondence: Part II

September 30, 2009 to December 1, 2009

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From: rstaff@stanford.edu [rstaff@stanford.edu] On Behalf Of rstafford@stanford.edu [rstafford@stanford.edu]
Sent: Tuesday, November 03, 2009 3:30 PM
To: Serena Chen; fbk; Sara Courtneidge; David Cowling (CDPH-CDIC); Fred Grannis; Paul Murata; mnewhoff@mail.sdsu.edu; Geri Padilla; Statice Wilmore
Cc: Larry Green; Bart Aoki; George Lemp; Phillip Gardiner; MF Bowen; Kamlesh Asotra; Teresa Johnson; Klaus Porzig; Ong, Michael M.D.; Constance A. Benson, MD; Jim Ford
Subject: Re: UCOP Non-advocate Review and Letter from Yudof

Fellow TRDRP SAC Members (and others) --

I would like to briefly update you on the UC of the President (UCOP) Non-advocate Review (NAR) of the Office of Research and Graduate Studies (ORGS) that took place on 10/27/09. Unfortunately, I have been out of the office with a nasty respiratory infection for the past week, so please forgive my delay.

Attached are the slide sets presented during the meeting by Steve Beckwith, ORGS staff, Shelly Sweet (consultant) and the Scientific Research Programs. Along with me, Klaus Porzig of the Breast Cancer Research Program and Connie Benson of the HIV/AIDS Research Program presented to the NAR group.

I have also attached a letter that President Yudof sent to me and Dr. Michael Ong of TEROC in reply to our letters about the NAR. While generally responsive to our concerns, the bottom line is that the NAR will decide and that concerns about TRDRP staffing will need to be addressed after the NAR provides its recommendations.

Although our recommended additions to the NAR panel were apparently not available, there was an effort to add one reviewer with public health expertise. Included at the meeting was Claire Brindes, new Director of the UCSF Institute for Health Policy Studies. While a welcome addition, my perception of Dr. Brindes was flavored by her pre-meeting lobbying of Steve Beckwith about funding for her proposed UCSF center on immigrant health (a related institute at UCSD receives funds from UCOP).

As you'll see in the slide shows, there were five fundamental assumptions made by the consultant (and accepted by ORGS) prior to the NAR meeting (see the file: RGPO preso SS verfinal for the consultants slides):

1) The work of the SRPs include these 5 major functions:

a) Define mission, strategies, constituents, alliances, funding pathways.
b) Solicit and review proposals, including applicant outreach.
c) Fund and Administer grants, including monitoring.
d) Provide dissemination and promote translation.
e) Conduct program evaluation and reporting.

2) That any consolidation of services would include, at most, the proposal review and grant management tasks (b and c above). The SRPs would need to continue to provide the other functions (a, d, and e).

3) That community-based grantees and Program-initiated funding programs are so different from typical grant making that these processes should be maintained by the SRPs and not consolidated.

4) That there are fundamental distinctions between the three SRPs and the other UC Programs located under ORGS that need to be taken into account.

5) That there are potential gains in efficiency that can be made from consolidating the proposal review and grants management functions.

Much time was spent having Steve Beckwith, the consultant and ORGS staff present a model for consolidating proposal review and grant management services. See the various slide shows for details.

My presentation to the NAR (in the afternoon) focused on what makes TRDRP distinct from the UC Programs, particularly legislatively mandated TRDRP functions. I indicated my agreement with items 1 through 4, but suggested that ORGS was not ready to consolidate grant review and grant management functions until we could be assured that the broad functions of TRDRP could be fulfilled. I made the point that recent ORGS reorganizations had exacted a toll on TRDRP and that staffing had been unnecessarily cut from the Program. I made the final point that TRDRP was not adequately staffed to take on the extra tasks and disruption associated with the planned reorganization.

After presentations by the three SRPs (of which mine was last), the NAR went into private session (they also had done so after lunch). I left before they concluded their meeting. At this point, we are awaiting a report from the NAR containing their recommendations.

Note that some of my comments are impressionistic and broadly summarized. I would welcome corrections or clarifications from those of you who also attended the meeting. In addition, I would appreciate any thoughts or suggestions you have about whether we should anticipate preparing a formal response to the NAR recommendations when they become available. Also, SAC members, please make your early December meeting day preferences known to Jewel Charles at TRDRP.

Thanks,

Randy

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

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

Office of Research & Graduate Studies

Non-Advocate Review of Grants Management

October 27, 2009

Steven Beckwith

Basis for Office of Research

Structure, Function, Leadership, and Developmental Trajectory for Research Support Functions at the UC Office of the President

Structure, Function, Leadership, and Developmental Trajectory for Research Support Functions at the UC Office of the President

Final report of a review group convened by Provost Wyatt R Hume

1. Executive Summary

Research is *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 enterprise generates support of $3 billion annually and produces more patents (and generates more licensing income – $100 million per year) from discoveries and inventions than at any other University. Research also shapes UC's educational distinctiveness; undergraduate students are regularly exposed to and frequently involved in the explorations of scholars whose research attracts international reputation. And research contributes to the people of California whose economy, environment, health, and well-being benefit immeasurably from UC's research activities.

government regulations

Basis for Office of Research

Structure, Function, Leadership, and Developmental Trajectory for Research Support Functions at the UC Office of the President
January 17, 2007 VCR white paper ("Klein report")

- Strategic planning
  - UC strategy to enrich, extend, and cultivate new opportunities for research and innovation beyond the means of peer institutions;
- Budget
  - Ensure that UC resource acquisition & allocation reflect the academic research priorities of the University's enterprise;
- Communication
  - Represent the University's research enterprise and cultivate its relationships with government, industry, and worldwide academic partners
- Policy
  - Ensure that our approach enables innovation and creativity on the campuses, in the national labs, consistent with UC philosophy and government regulations

Goal: Achieve Efficiencies

Structure, Function, Leadership, and Developmental Trajectory for Research Support Functions at the UC Office of the President
January 17, 2007 VCR white paper ("Klein report")

4.5. Organizational efficiency. The review uncovered a number of organizational inefficiencies that should be addressed under the new administration.

- 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.
- Limited opportunities for information sharing amongst professionals working in proximate areas within the Office of the President.

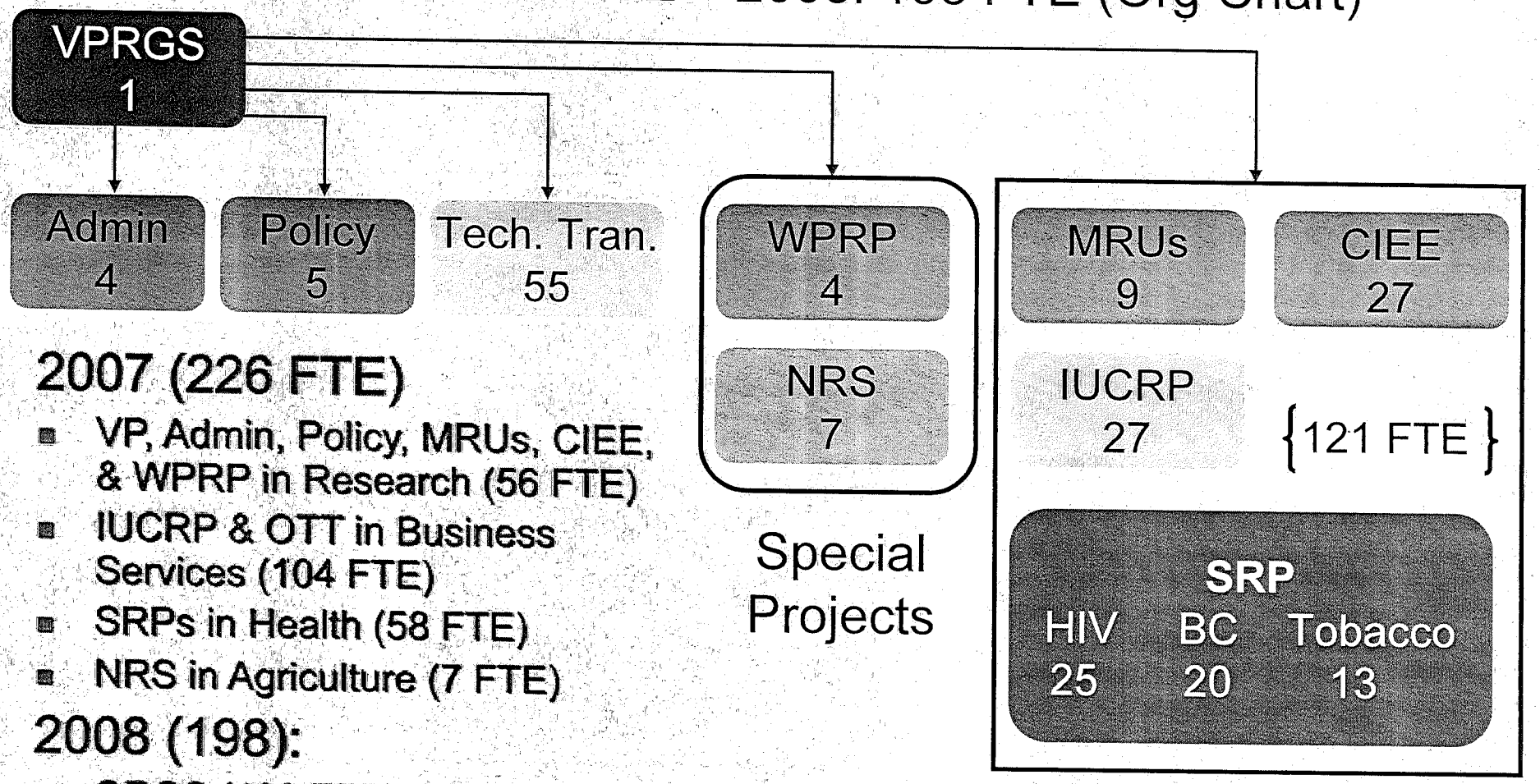
6.2.3. Create a single research programs office. This would enable harmonization of basic business, administration, and grant-making practices while enabling programs to maintain their distinctiveness. The unit would at a minimum include, IUCRP, SRP, Dengue, CIEE. It should be extended to include the two other large sponsored research programs – the multi-campus research and Natural Reserves – as well as oversight of research programs supported with the Lab fees. It could also sweep up smaller units that do policy analysis on a contract basis, and that stand to benefit from some of the common grant administration services that a consolidated unit would be able to supply. In its most extended form, the unit would include Welfare Research, CHBRP, CPRC, etc.

ORGS Purpose & Organization

- Distribute ~$100M/yr of research support in 4 UC and 3 California state research program
  - 58 FTE, matrixed support of 7 programs
- Set, interpret, and support research policy for UC system
  - 14 FTE (includes policies on intellectual property & tech transfer)
- Manage Industry-University relationships
  - 29 FTE (tech transfer, system-wide oversight, outreach)
- Provide system-wide support of graduate studies & NRS
  - 8 FTE
- Research planning, presidential support, communications & ORGS management
  - 7 FTE

ORGS Structure 2007-2008

2007: 226 FTE 2008: 198 FTE (Org Chart)



2007 (226 FTE)

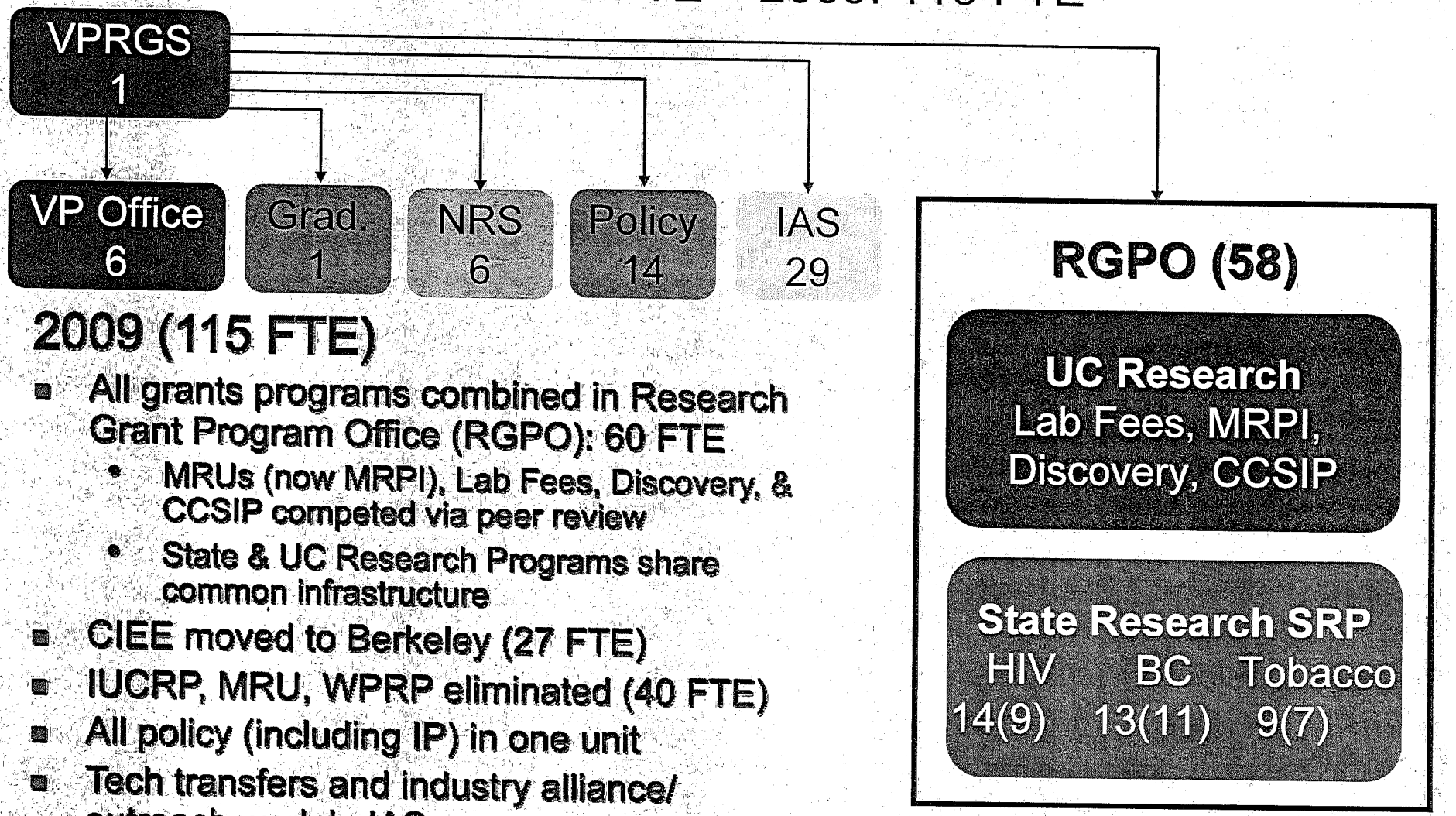
- VP, Admin, Policy, MRUs, CIEE, & WPRP in Research (56 FTE)
- IUCRP & OTT in Business Services (104 FTE)
- SRPs in Health (58 FTE)
- NRS in Agriculture (7 FTE)

2008 (198):

- ORGS (198 FTE)
- Expected "economies of scale"

ORGS Structure 2009

2008: 198 FTE 2009: 115 FTE



Grants & Contracts

2009 (115 FTE)

- All grants programs combined in Research Grant Program Office (RGPO): 60 FTE
  - MRUs (now MRPI), Lab Fees, Discovery, & CCSIP competed via peer review
  - State & UC Research Programs share common infrastructure
- CIEE moved to Berkeley (27 FTE)
- IUCRP, MRU, WPRP eliminated (40 FTE)
- All policy (including IP) in one unit
- Tech transfers and industry alliance/ outreach work in IAS

Current Progress on UC Grants

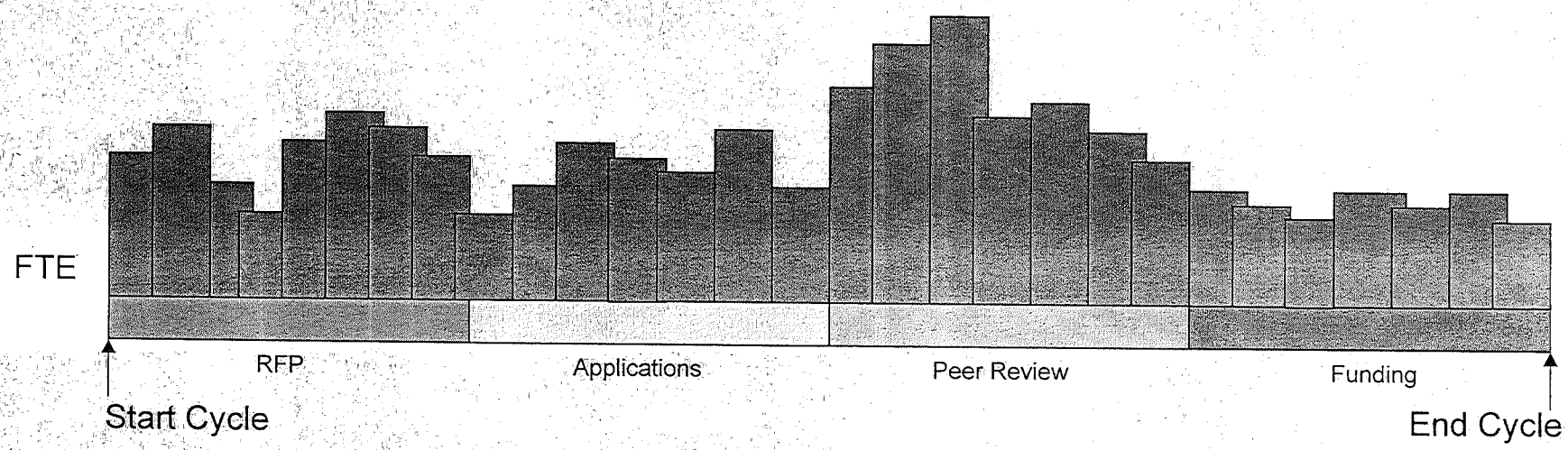
- Lab Fees Research Program: 2008 Sep – 2009 Jan
  - Concept '08 March, $ to researchers by '09 January
  - 565 proposals all fields, 60 reviewers, total cost $300k
- Multicampus Research Programs & Initiatives: 2009 May
  - Concept '08 September, $ to researchers by '09 July
  - 139 proposals in 6 targeted areas, 36 reviewers, total cost $243k
- Canada-California Strategic Innovation Part.: 2009 Jul
  - 46 proposals in 5 fields, 33 reviewers, total cost $150k
  - First use of iLink software for full desktop videoconference
- Discovery Grants: 2009 Sep
  - 106 proposals in 5 targeted areas, 36 reviewers, total cost $243k
  - Used iLink desktop videoconferencing for all 4 panels (feedback)

Innovations in UC Grants

- Program direction
  - Strategic planning for program direction, scope, and RFP parameters use advisory councils without dedicated staff
  - Use experts from advisory councils, Senate, and UC faculty to identify reviewers, along with high level staff (e.g. LMO)
- Cost reductions
  - Reduce meeting costs by moving venues & meeting schedules
  - Introduce desktop videoconferencing to eliminate travel costs
  - Reduced risk aversion for grants
- Efficiencies
  - Sequenced UC reviews to allow PARC staffing of all reviews
  - Eliminate unnecessary work (e.g. budget checks)
  - Central money transfers to collaborations to reduce overhead

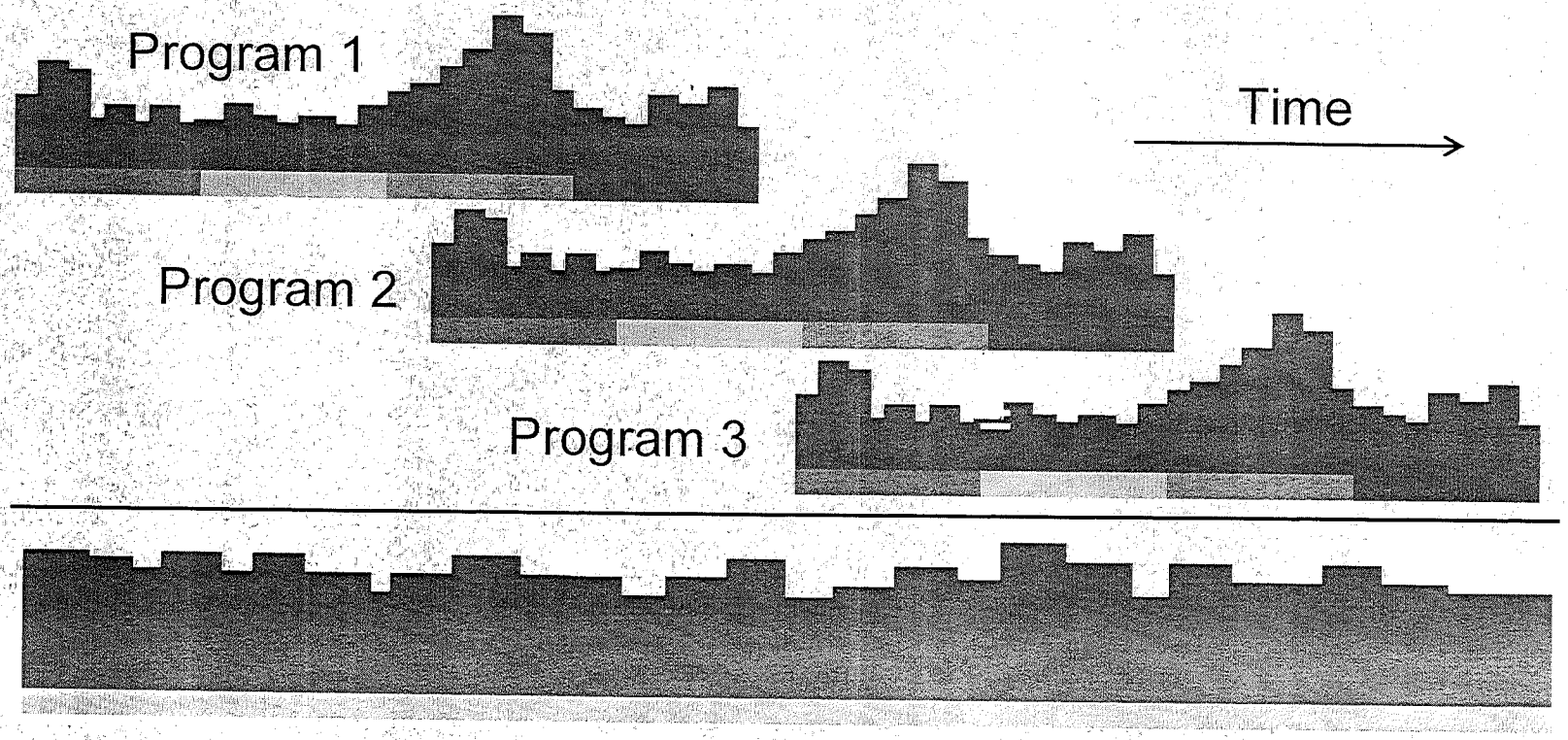
Consolidating Grant Cycles I

- Cycle activities require peaks and valleys of staff involvement
- Activities require different skills at different parts of the cycle
- Cycle-component teams could transition to new grant cycle or next cycle team when one step of process if complete



Consolidating Grant Cycles

- Staggering improved and more standardized grant cycle to manage multiple grant cycles improve workflow
- Use best practices and policy modifications to normalize cycle workflow across groups



Average workflow steady; same group works multiple programs

Three Cycle Model Estimated Time Line For Hub Activities

Teams Grant Programs	FIRST QUARTER			SECOND QUARTER			THIRD QUARTER			FOURTH QUARTER		
	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN
Team 1: Summer/Fall												
Lab LLC Awards	Applications											
		Reviewer Selection		Review								
CHRP		Application										
			Reviewer Selection		Review							
Team 2: Fall/Winter												
CBCRP					Application							
						Reviewer Selection		Review				
IUCRP						Applica-tions						
							Reviewer Selection	Review				
Team 3: Winter/Spring												
IUCRP										Applica-tions		
											Reviewer Selection	Review
TRDRP									Applications			
										Reviewer Selection		Review

Assumptions:

1. Peer Review Meetings are most labor-intensive portion of hub activities, scheduling them within same timeframe for each cycle creates efficiency. Note that ramp up phase for Hub requires launching Lab Pgm. 1 month ahead of CHRP
2. IUCRP operates on a 100 Day clock from proposal submission to research start.

Current Post-Award Management

		Compliance Checks: Annual Certifications			Award Terms, Conditions and Structure			
Program	Grantee	Human Subject	Animal Subject	Industry Sponsor	Program Pre-approval of Grant Modifications	Final Payment Holdback	Other Funding Model	External Contract
IUCRP	UC	●	●	●	●	●		
CBCRP	UC	●	●		●			
CBCRP	Non UC Academic	●	●		●	●		●
CBCRP	Community	●	●		●	●		●
HIV/AIDS	UC	●	●		●		●	
HIV/AIDS	Non UC Academic	●	●		●	●	●	●
HIV/AIDS	Community	●	●		●	●	●	●
TRDRP	UC	●	●		●			
TRDRP	Non UC Academic	●	●		●	●		●
TRDRP	Community	●	●		●	●		●

● step carried out to award funds

Application of Findings

		Compliance Checks: Annual Certifications			Award Terms, Conditions and Structure			
Program	Grantee	Human Subject	Animal Subject	Industry Sponsor	Program Pre-approval of Grant Modifications	Final Payment Holdback	Other Funding Model	External Contract
IUCRP	UC	○	○	○	○	○		
CBCRP	UC	○	○		○			
CBCRP	Non UC Academic	○	○		○	○		○
CBCRP	Community	●	●		○	●		○
HIV/AIDS	UC	○	○		○		●	
HIV/AIDS	Non UC Academic	○	○		○	○	●	○
HIV/AIDS	Community	●	●		○	●	●	○
TRDRP	UC	○	○		○			
TRDRP	Non UC Academic	○	○		○	○		○
TRDRP	Community	●	●		○	●		○

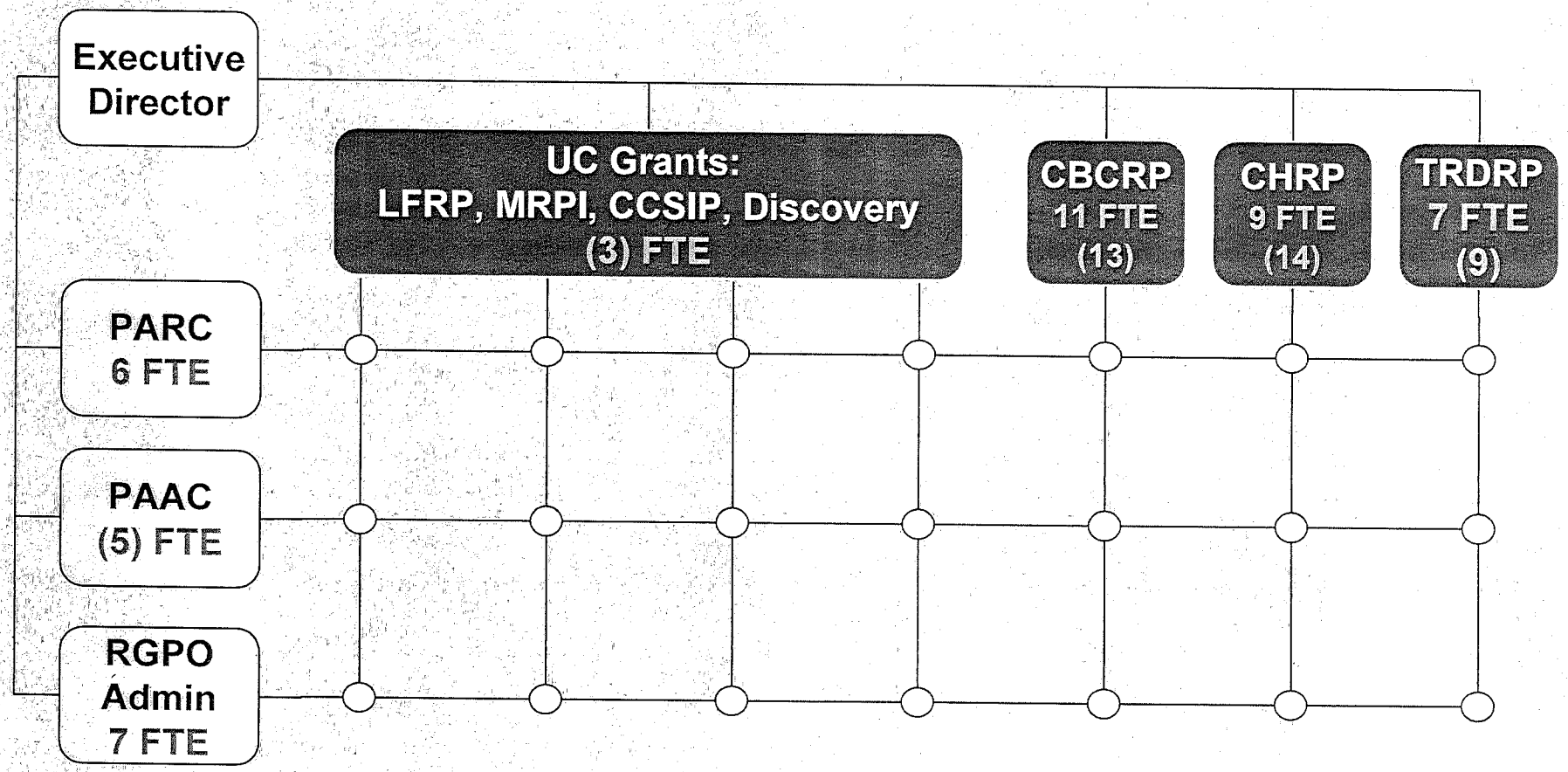
○ step eliminated ● step retained ○ step modified

Initial Process Redesign: Fast Track - Standard Track

		Compliance Checks: Annual "Certifications"			Award Terms, Conditions and Structure			
Track	Grantee	Human Subject	Animal Subject	Industry Sponso r	Program Pre-approval of Certain Types of Grant Modifications	Final Payment Holdback	Alternate Funding Model	External Contracts
Fast	UC	○	○	○	○	○	?	
	Non-UC Academic	○	○		○	○	?	○
Standard	CBO & Referrals	●	●	●	○	●	?	○

○	step eliminated
○	step partially eliminated or streamlined
●	step continues to be performed
?	open question

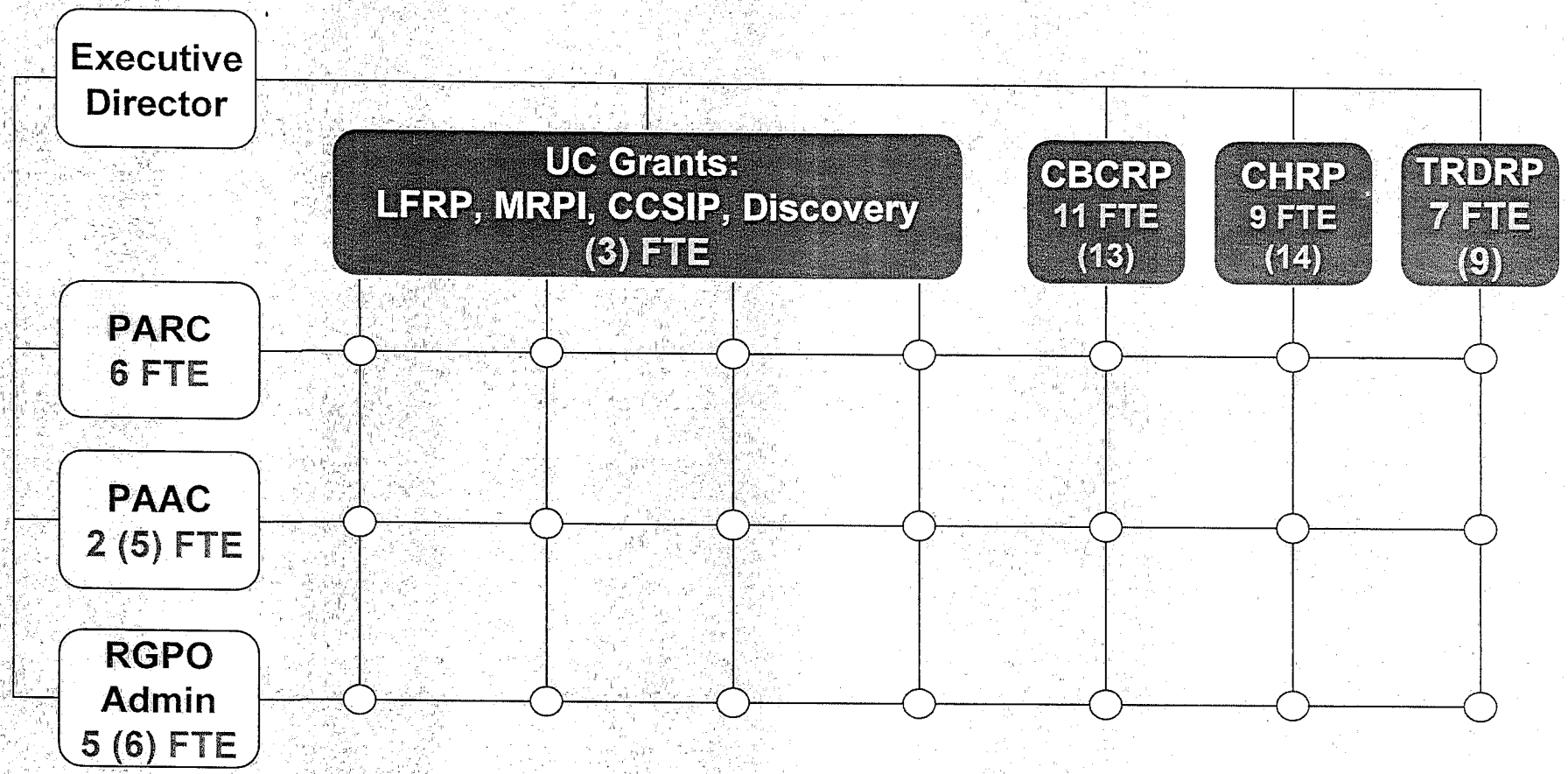
ORGS Research
Grant Programs Office



Next Steps

- Consolidate investigator-led grant reviews in central unit
  - Vest responsibility for review meetings with unit
    - Programs control reviewer selection
  - Let unit determine best practices for review and distribution
- Consolidate grant distribution into central unite
  - Set up three track system for fund distribution
  - Procure integrated software system for grant dispersal
- Evaluate proposed plan, timelines, phasing, staffing
  - Are proposed benefits in keeping with overall responsibilities?
- Identify areas for further potential efficiencies
  - NAR input is welcome

ORGS Research Grants Programs Office - Original Concept



RGPO – Original Concept (In Practice)

Pros and Achievements

- Ability to deploy and target talent as needed
- Has introduced competition for UC Grants programs and frees up research $ for re-investment
- Has achieved significant costs savings in UC grants administration
- Allows UC to pursue new initiatives utilizing new staffing structures
- For all programs achieved significant savings through staff reductions
- For UC grants significant savings achieved through simplification, application of best practices and achieving large economies of scale

RGPO – Original Concept (In Practice)

Cons and Implementation Challenges

- Assumes short term process teams; does not capture long term program processes
- Requires many hand-offs
- Loss of substantive (SME) continuity & relationships
- Difficult to implement unique legislative and Council mandates
- Difficult to implement given full range of grant processes and cultures
- Unclear locus of accountability, responsibility, and decision-making
- Challenges in coordination, allocation, and accounting of staff time
- Optimal staffing levels not yet known
- Service cost allocation variable and not yet known
- Fiscal interdependence may create uneven costs for same service from year to year
- Reliance on external SME input may be unreliable
- Stakeholder and advisory council concerns
- Unknown long term impact on outcomes

Overview of CHRP Operating Costs for FY 2007-08 to 2009-10: Updated on 10-24-09 to include PARC, PAAC & Admin Services

		FY 2007-2008	FY 2008-2009	FY 2009-2010
❍Operating Costs For Core CHRP Fund		(Actual)	(Projected)	(Projected)
	Total Operating Costs (excludes extramural funds)	1,614,411	1,104,420	1,078,904
	Total State Budget Allocation (state appropriation + UC augmentation)	9,794,970	10,366,449	10,075,176
	Operating Cost Savings from 07-08	----------	509,991	535,507
	Proportion Operating to Total Costs	16.48 %	10.65 %	10.71 %
❍Proposal Review (PARC effective FY 2008-2009)				
	Proposal Review Committee Costs	$185,124	$84,209	$89,550
	Total Review/Evaluation Costs	538,941	447,734	469,205
	Review Cost Savings from 2007-08	----------	91,207	69,736

Overview of CHRP Operating Costs for FY 2007-08 to 2009-10: Updated on 10-24-09 to include PARC, PAAC & Admin Services

		FY 2007-2008	FY 2008-2009	FY 2009-2010
❍Operating Costs by Subcategory		(Actual)	(Projected)	(Projected)
	Program Personnel + Benefits	$844,570	$763,160	$606,766
	Admin Services Recharge (Personnel + other)	263,453	132,563	89,100
	PARC Recharge (Personnel + Other)	0	20,000	105,000
	PAAC Recharge (Personnel + Other)	0	0	87,500
	Subtotal: Personnel + Recharge	**1,108,023**	**915,723**	**888,366**
	Peer Review Committee Costs	185,124	84,209	89,550
	Stakeholder Input Meetings	71,047	0	0
	Advisory Council Meetings	37,072	4,200	4,200
	Grant Review/Management Software (service fees and development)	62,554	20,000	20,000
	Equip, supplies, mail, phones, other	150,591	80,287	76,788

Overview of TRDRP Operating Costs for FY 2007-08 to 2009-10:

Updated on 10-24-09 to include PARC, PAAC & Admin Svcs

	FY 2007-2008	FY 2008-2009	FY 2009-2010
❍Overall Program Operating Costs	(Actual)	(Projected)	(Projected)
Total Operating Costs	1,855,950	1,296,112	1,252,587
Total State Budget Allocation	16,553,000	14,553,000	13,090,000
Operating Cost Savings from 07-08	----------	559,838	603,363
Proportion Operating to Total Costs	11.21 %	8.91 %	9.57 %
❍Proposal Review (PARC effective FY 2008-2009)			
Proposal Review Committee Costs	$278,693	$151,354	$151,354
Total Review/Evaluation Costs	680,975	537,961	556,084
Review Cost Savings from 2007-08	----------	143,014	124,891

Overview of TRDRP Operating Costs for FY 2007-08 to 2009-10: Updated on 10-24-09

		FY 2007-2008	FY 2008-2009	FY 2009-2010
❍Operating Costs by Subcategory		(Actual)	(Projected)	(Projected)
	Program Personnel + Benefits	$797,432	$832,891	$668,346
	Admin Svcs Recharge (Personnel + other)	442,601	191,480	121,500
	PARC Recharge (Personnel + Other)	0	30,000	120,000
	PAAC Recharge (Personnel + Other	0	0	100,000
Subtotal	*Personnel: Pgm+PARC+PAAC+Adm*	$1,240,033	$1,054,371	$1,009,846
	Peer Review Committee Costs	278,693	151,354	151,354
	Advisory Council Meetings	19,101	8,800	6,000
	Grant Review/Management Software (service fees and development)	63,766	25,649	25,649
	Bi-Annual Conference	141,104	0	0
	Equip, supplies, mail, phones, other	98,766	46,239	47,737

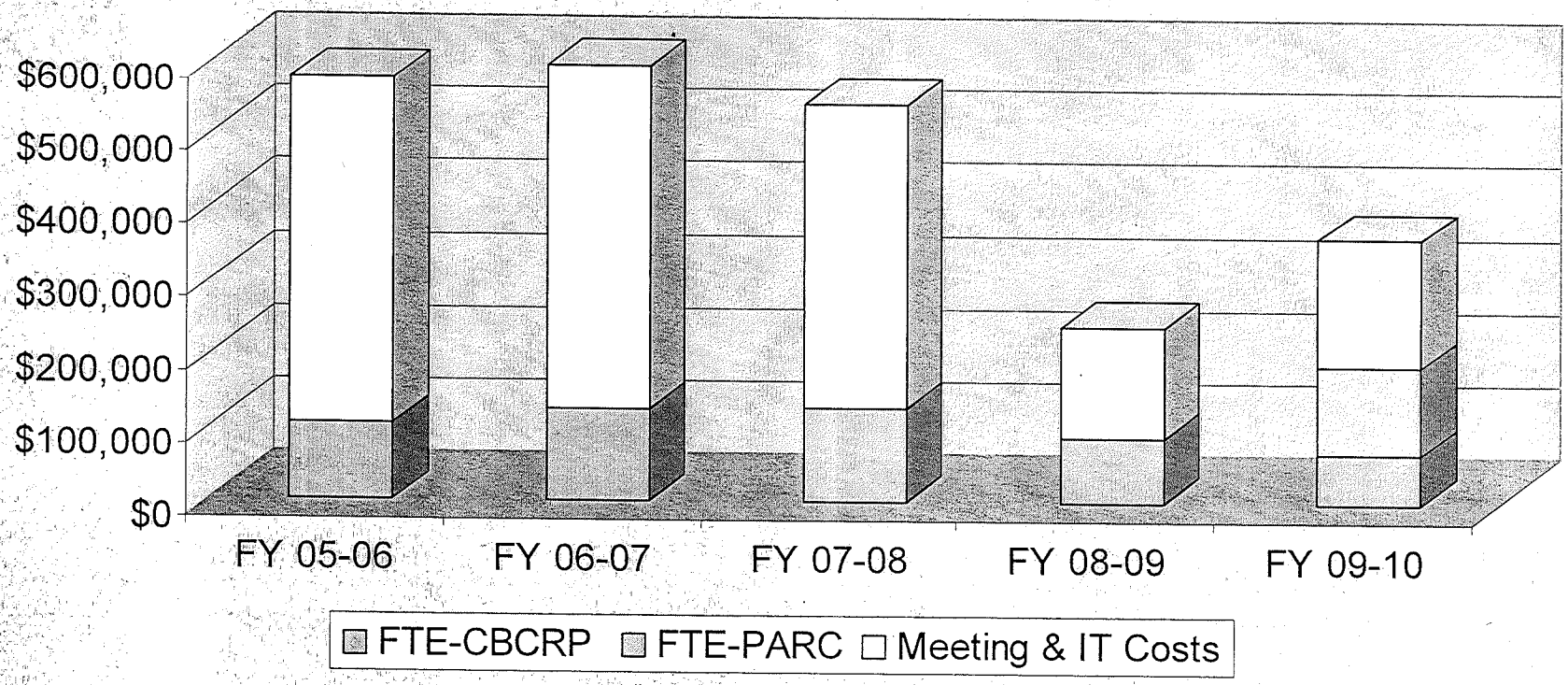
Recent CBCRP Peer Reviews

Fiscal Year	# App	# Award	Total $$ Request	Total Awarded/ Allocated (multi-yr)	Appl. Award (%)	$ Award (%)	Review Cost (+staff)	Review Cost % $$ Award
2009-2010 anticipated	170	45	$40M	$9M	26%	22%	$174 K ($241 K) ($358K with PARC staff)	1.9% (2.7%) (4.0%)
2008-2009	168	45	$43.7M	$8.7M	27%	20%	$152 K ($220 K)	1.7% (2.6%)
2007-2008	220	38	$40.8M	$7.1M	17%	17%	$414 K ($513 K)	5.8% (7.2%)
2006-2007	202	53	$45.8M	$9,8M	26%	21%	$473 K ($568 K)	4.8% (5.8%)
2005-2006	201	53	$37M	$7.7M	26%	21%	$473 K ($553 K)	6.1% (7.2%)

Recent UC Peer Reviews

Fiscal Year	Review Dates	# Panels	# Reviewers	Type/Location of Review	Award Types	Review Panels
2008-2009	March/April 2009	4	68 10 ap/rv	in-person; Westin SFO	IDEA Awards IDEA Competitive Renewals Postdoctoral Fellowships Dissertation Awards CRC Pilot Awards CRC Full Awards Translational Awards	Community, Sociocultural, and Health Policy Innovative Treatments and Earlier Detection Pathogenesis Etiology, Prevention, and Progression
2007-2008	March/April , 2008	5	108 8 ap/rv	in-person; Monaco Hotel, SF	SAME	Community and Sociocultural Innovative Treatments and Earlier Detection Pathogenesis Tumor Progression Etiology and Prevention
2006-2007	March/April 2008	5	115 8 ap/rv	in-person; Monaco Hotel, SF	SAME	SAME

Review Committee Costs Over Time



RGPO – Possible End State

- Strategic Implementation of UC Grants Investments
- External Relations
- Manager of Operations

Executive Director

Operations Support Unit (6 FTE)

- Finance
- Budget
- Website
- Event-Planning

Investigator-Initiated Research Awards (IIRA) Center (<14 FTE)

CBCRP Leadership, Community-based & Directed Research (Reduced FTE)

CHRP Leadership, Community-based & Directed Research (Reduced FTE)

TRDRP Leadership, Community-based & Directed Research (Reduced FTE)

- Responsible for Standardization Process of IIRA
- Optimize support for IIRA for all programs
- Implement IIRA process for program
- Includes current PARC/PAAC and program officer staff functions

- Programs retain leadership & SMEs for all processes & optimize resources for steps 1,4,5 and Community-based & Directed Research
- Program Directors form advisory group on Standardization Process of IIRA with custom modules for programs
- Program staff help build standard process with custom modules

RGPO – Possible End State

Pros

- Common process features standardized in IIRA Group
- Program retains unique initiatives and community-based processes
- Increased clarity in authority
- Retain pros of original concept

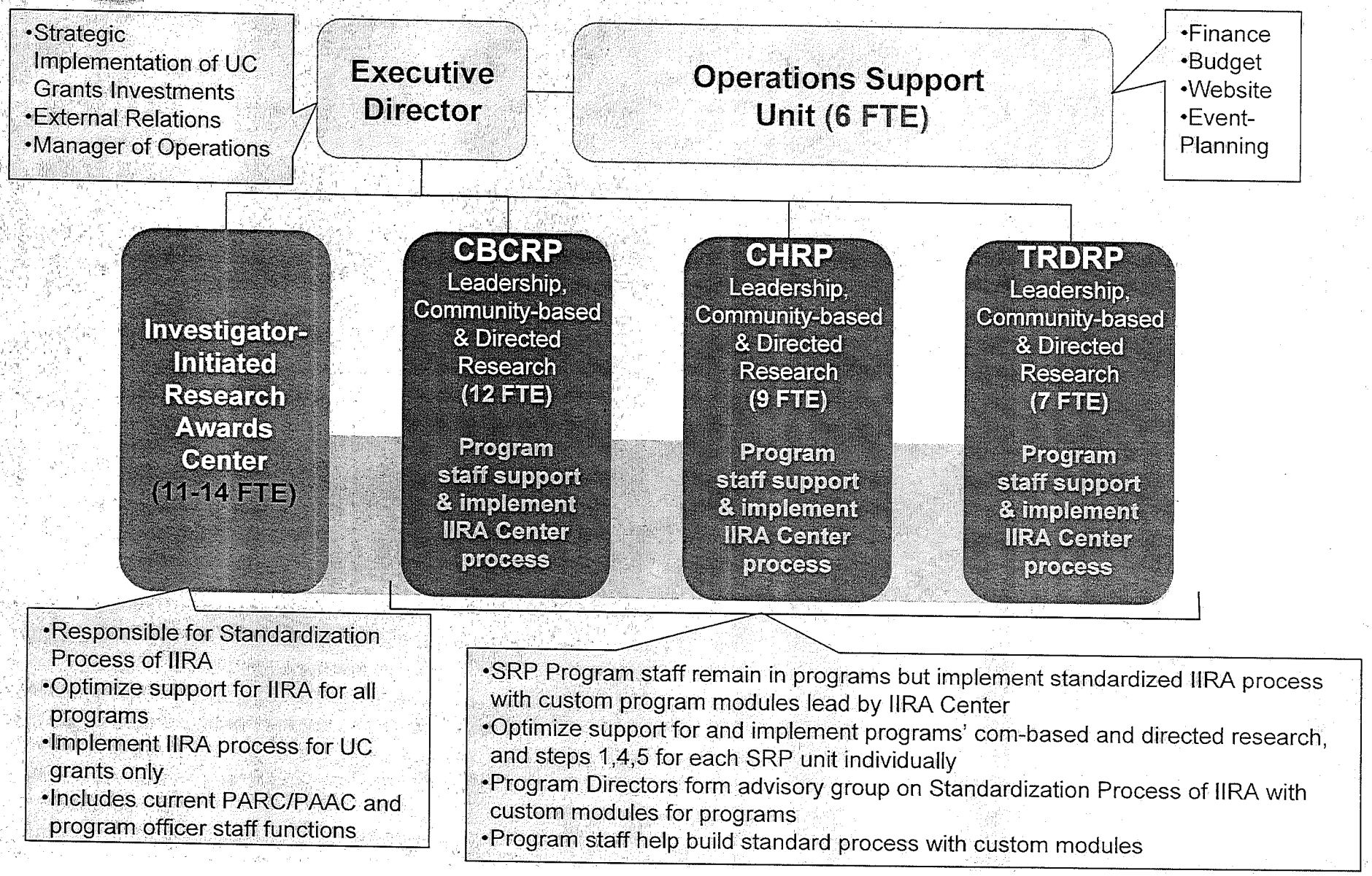
Requirements

- Clear definition of what constitutes IIRA v. other calls
- Refined standardized IIRA process with limited custom modules

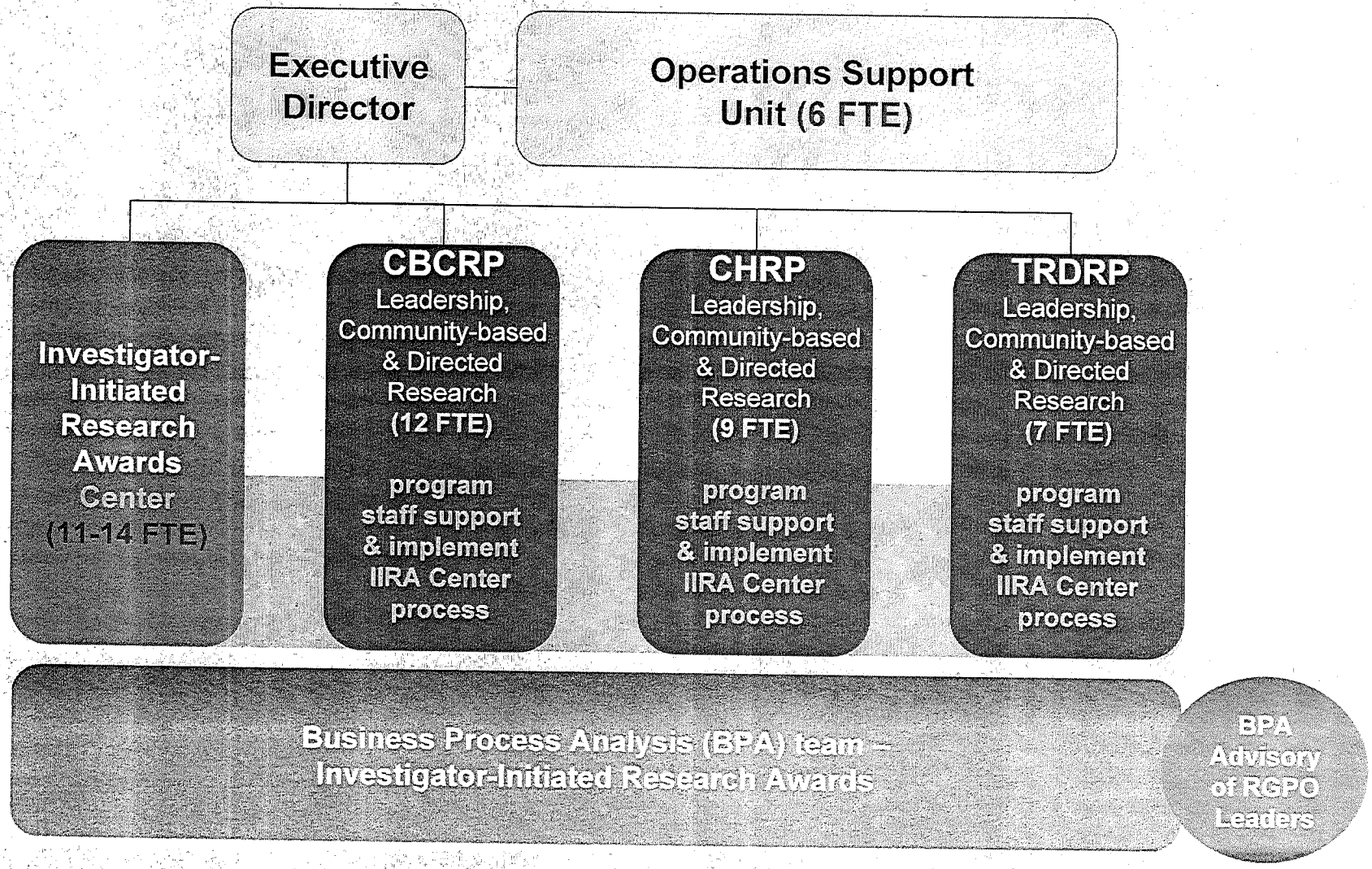
Cons

- May not address program identity concerns
- For IIRA process hand off problem may develop and potential loss of substantive (SME) continuity & relationships
- Could limit program flexibility
- Variable funding directed to IIR awards could cause instability to IIRA Center
- Does not address business plan—budget, time accounting, service fees
- Stakeholder and advisory council concerns

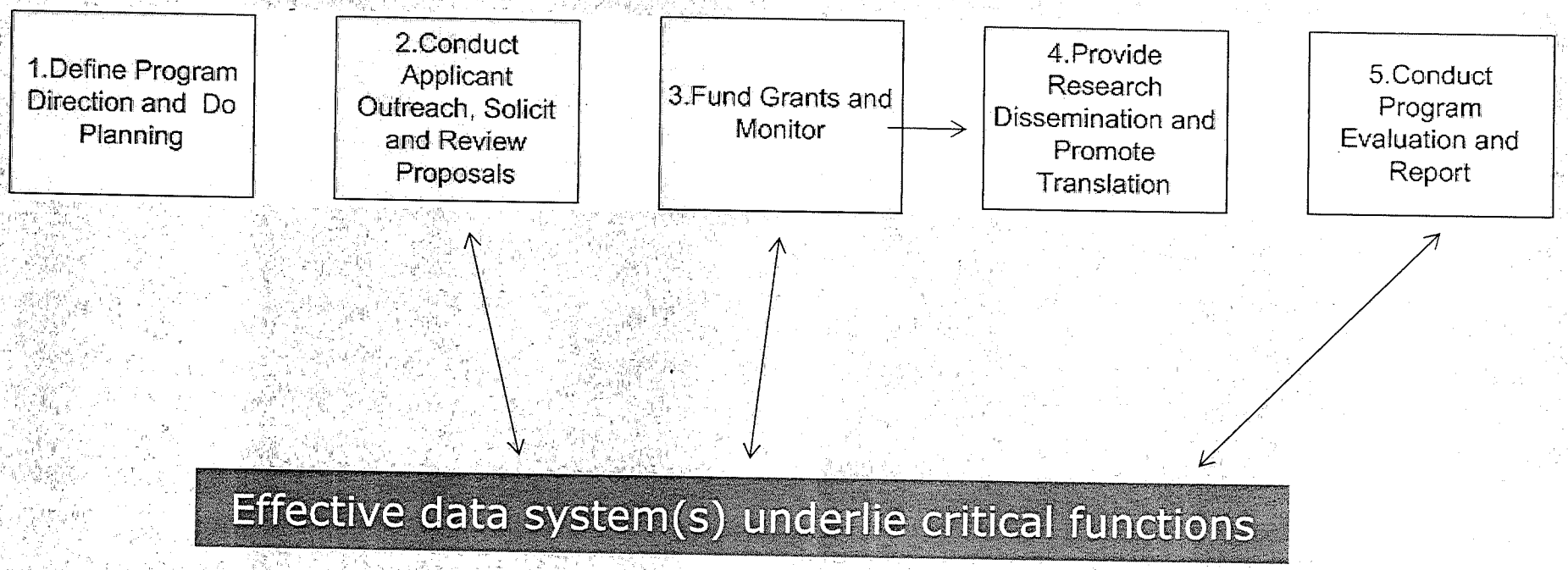
RGPO – Intermediate State



RGPO – Intermediate State
Phasing BPA Development



Grant Process



RGPO Systems Requirements

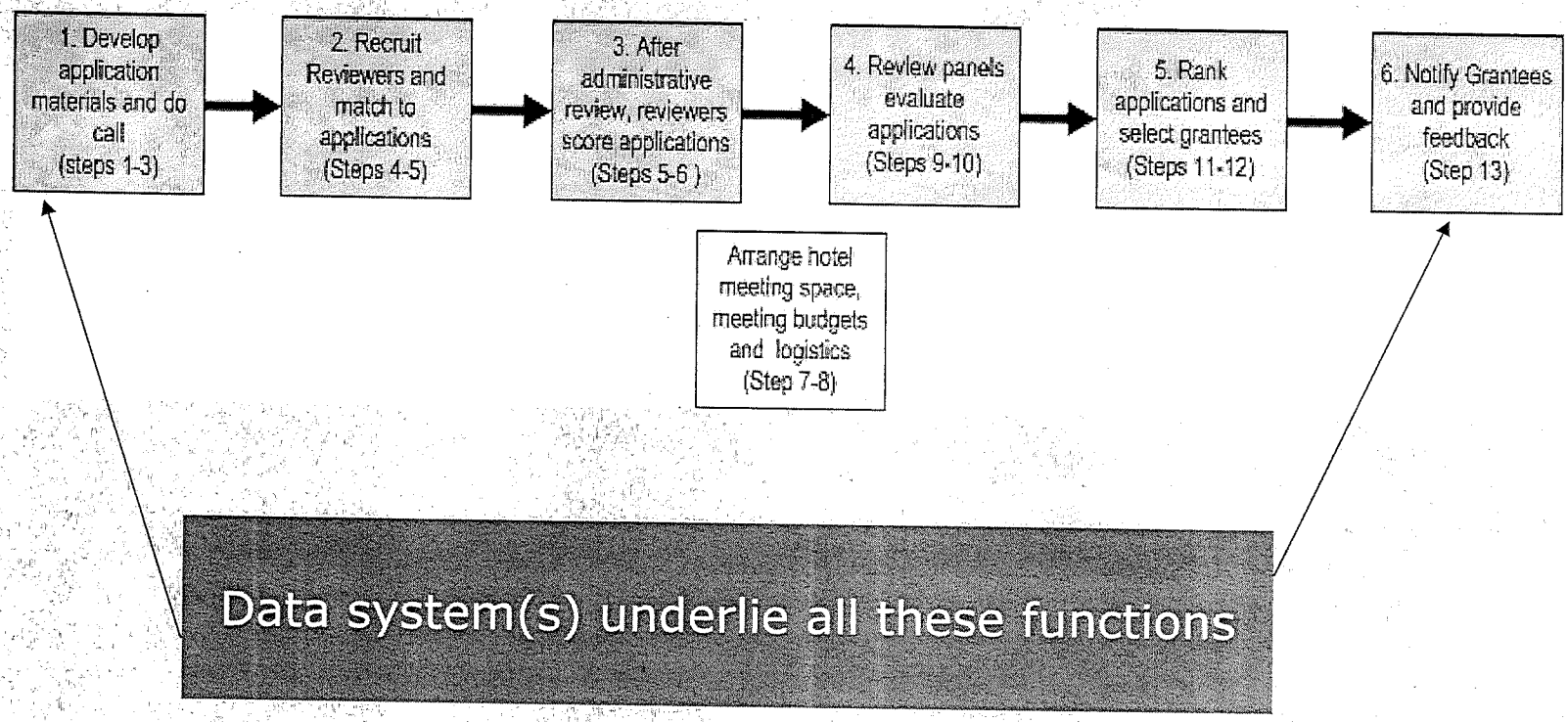
CURRENT

- SRP – uses the GRAIL (est. 1996) grant system that is fragile, manually intensive, and needs major Windows and Sybase upgrades.
- Discovery Grants uses the GMS system (est. 2001) also on its last legs and no dedicated resources for maintenance and monitoring.
- UC Grants – is currently using an interim, ad hoc grant management system.
- Proposal Central (web proposal system) does not interface with GRAIL, GMS, or ad hoc UC Grants system.
- None of the old, new, or ad hoc systems interface with each other.

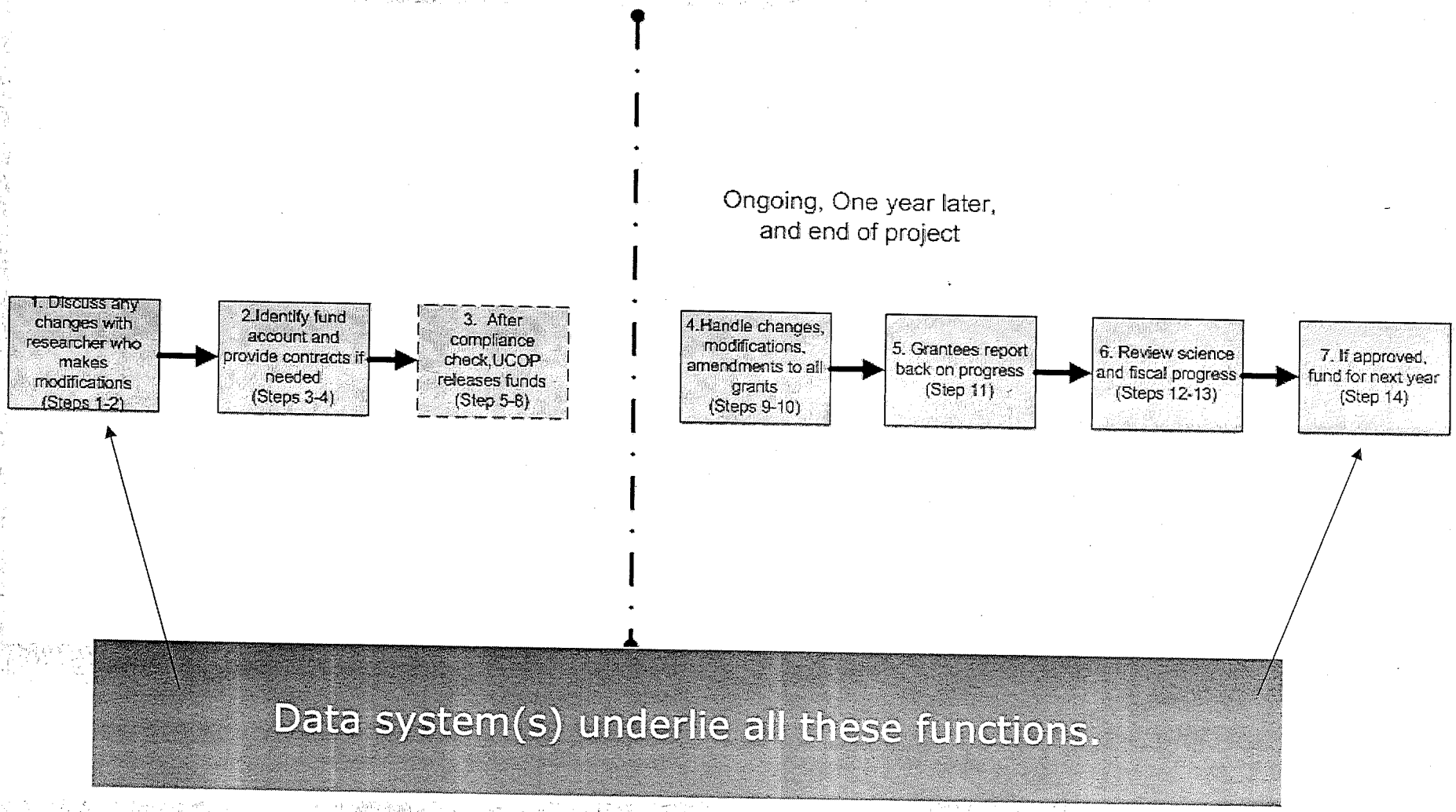
FUTURE

- Given cost constraints, develop a new grant management system that relies on uniform data across programs (UC Grants and SRP) and processes (pre-award through post-award) to the greatest extent possible.
- Customize only when necessary.
- Ensure new grant management system interfaces with major UCOP systems (e.g.,UCOP Financial System) to the greatest extent possible.
- Allow for web-based pre-award and post-award data entries from PIs (to capture applicant information, and grant and financial information from grantees).
- Standardize software applications and computer equipment.

Investigator Initiated Research – Grant Application Process



Investigator Initiated Research – Grant Management Process



New Data System(s) Implementation Plan

- Phase 1: Strategy and Analysis (months 1-8)
- Phase 2: Review System-Model (months 8-9)
- Phase 3: Identify or design (months 9-12)
- Phase 4: Build (or interface with vendor system) and Document (months 12-16)
- Phase 5: Testing (months 17-19)
- Phase 6: Transition & Production (months 20-24)

New System(s)

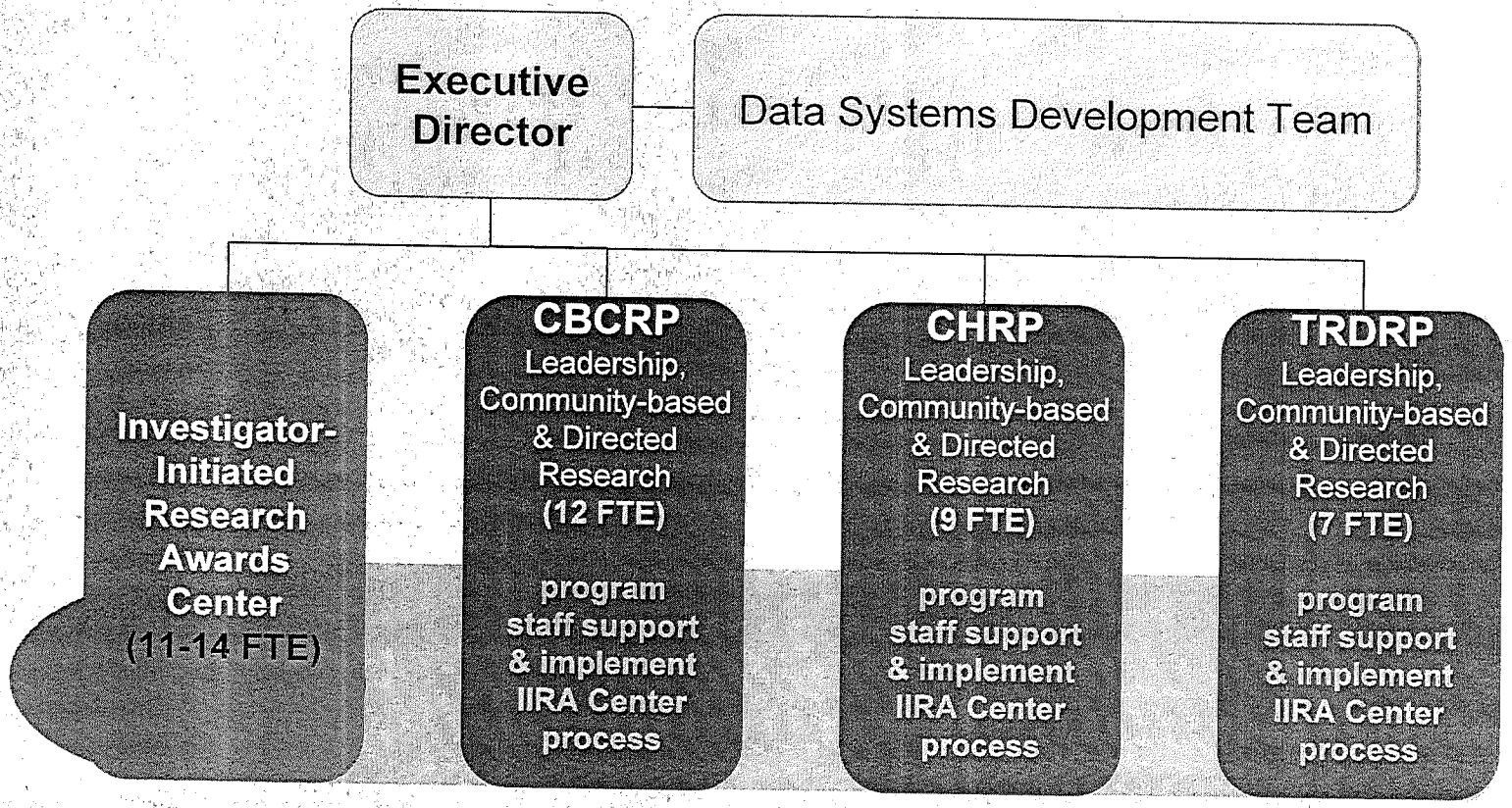
Goals

- Uniform system to greatest extent possible
- Efficient interfaces
  -between pre- to post-award
  -between post-award to RGPO financial
  -between RGPO financial to UCOP financial system
  -between web base system to PI

Challenges

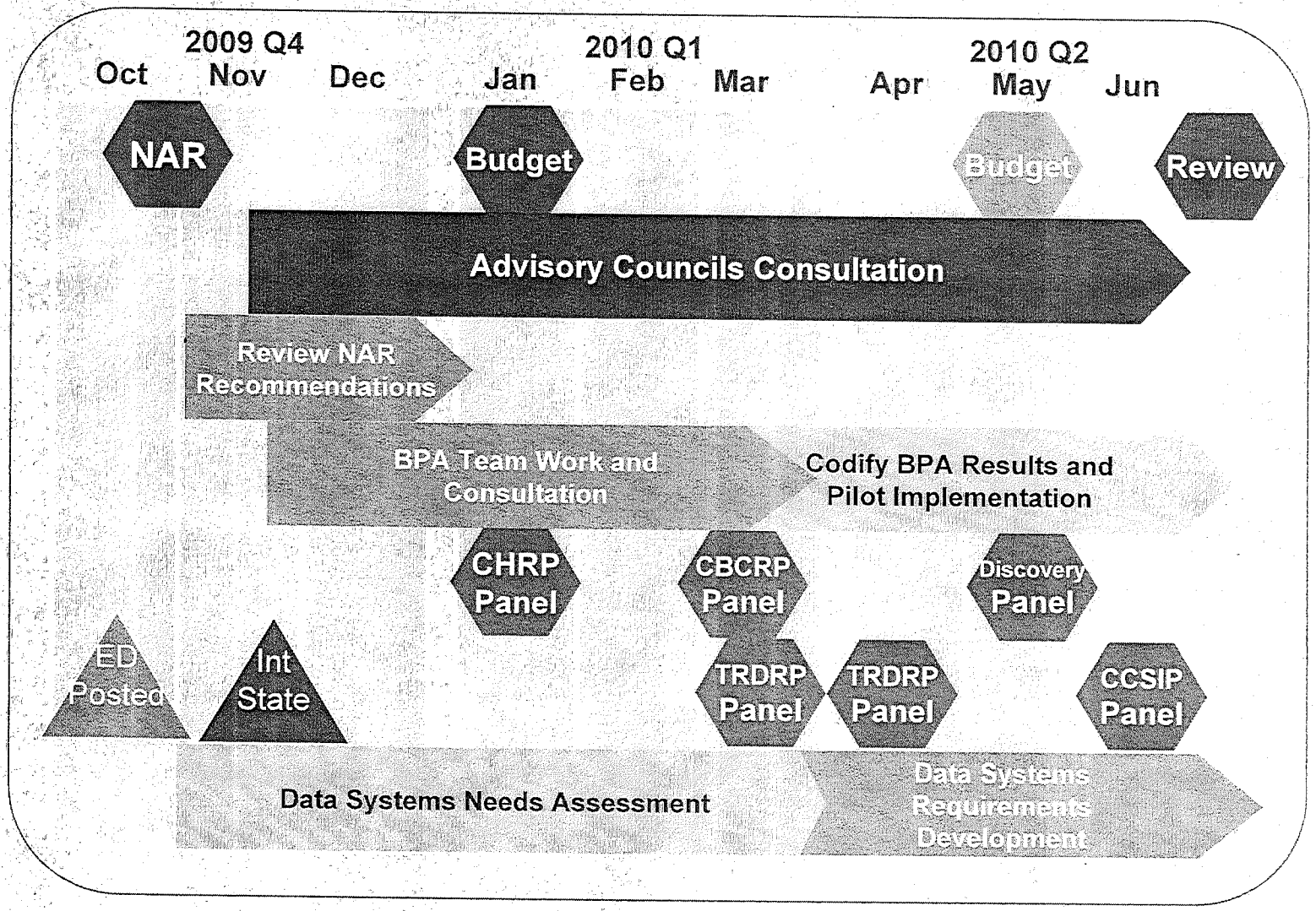
- Identify and commit resources needed (short and long-term)
- Identify project leader, project team user group and steering committee
- Developing effective consulting plan with external advisory boards
- Communicating and consulting effectively with internal UCOP offices (Research Compliance, IR&C, Budget and Institutional Research)

RGPO – Intermediate State
Phasing Data Systems Development



Systems Advisory of RGPO Leaders

RGPO Proposed Timeline



UC Grants Peer Review Operations and Proposed Streamlining of Post Award Processing

Overview/Outline

- Establishment of Consolidated Peer Review Coordination Unit

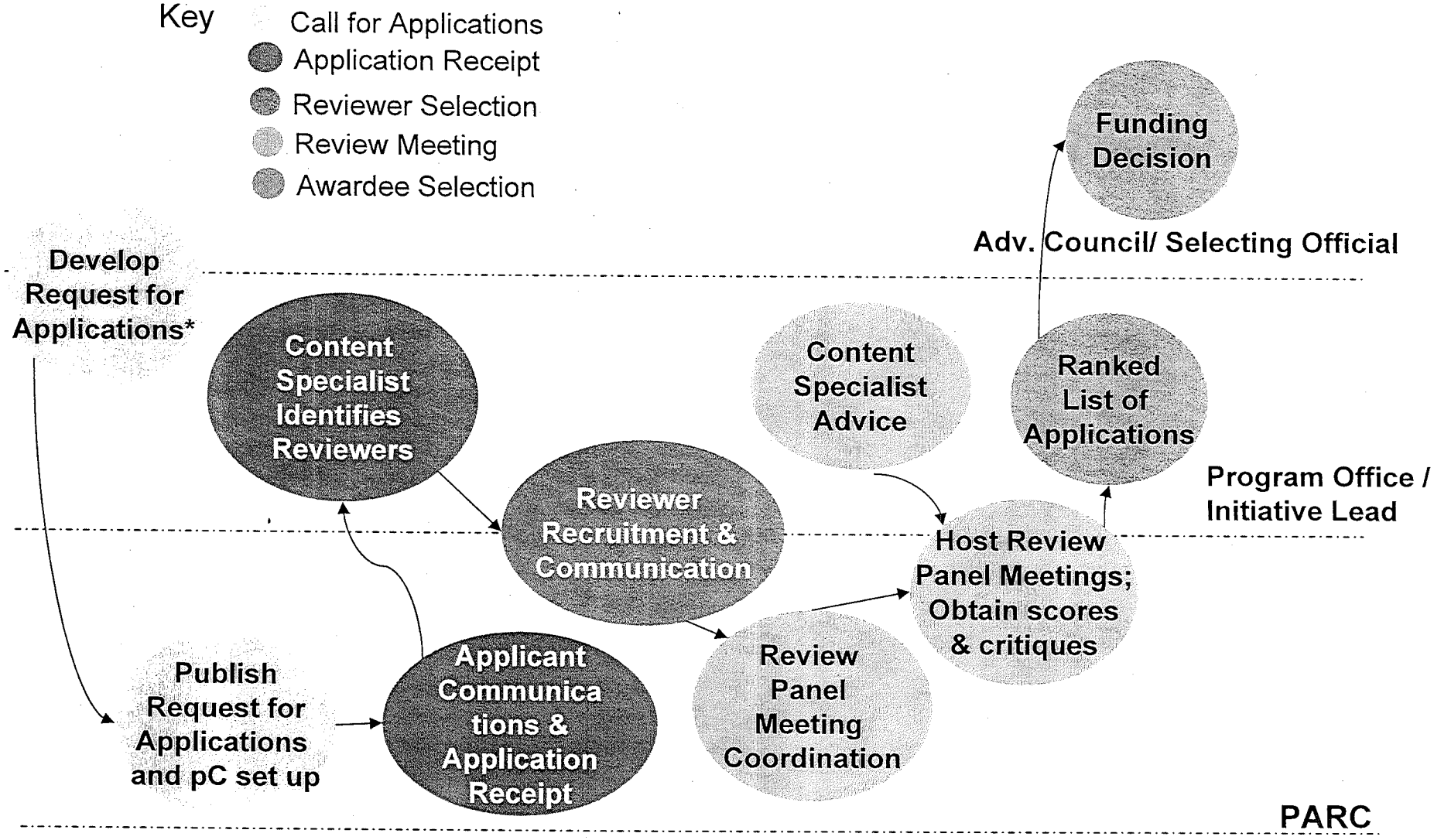
2. Goals and Accomplishments of the PARC with respect to UC Grants

3. Proposed Post Award Consolidated Process (brief overview)

4. Questions & Discussion

Distribution of Tasks & Process Flow

*(initially proposed by design team 08/2008)**



** Level of PARC involvement in "program" tasks depends on program/initiative staffing*

UC Grants Peer Reviews & PARC Establishment Timeline

2008

Summer – Consolidated Peer Review Unit Design Team (→PARC)

Fall – Lab Fees Reviews

November – PARC Director hired / Unit established

2009

January PARC staff hiring begun

5 PARC-coordinated Peer Reviews for UC Grants:

March – PacRim Research Program (PRRP)

May – Multi-campus Research Initiatives (MRPI)

July – Canada-California Strategic Innovation Partnership (CCSIP)

***and* Discovery Fellows Renewal**

September 2009 – UC Discovery Grants

Additional PARC Tasks
(non-UC Grants Peer Reviews)
January – September 2009

Prepared **Lab Fee** award payments ($22M ; 60M over 3 yrs)

Provided partial **meeting staffing** to March 2009 CBCRP & TRDRP reviews

Prepared honoraria and travel **reimbursement** docs for BRC payment - CHRP, CBCRP, TRDRP Jan-March 2009 Reviews *(Admin function of RGPO in future)*

Developed **meeting budgets and approval** forms for CBCRP, CHRP, TRDRP Jan – April 2010 upcoming reviews; coordinate Hotel contract

Negotiate and prepare for execution **proposalCENTRAL** renewal contract

Develop iLinc **video conferencing capacity** (adopted by ORGS & UCOP)

Participate in post-award process development (BPA and other ORGS Re-org planning and implementation)

Proposal Solicitation and Peer Review GOALS

Administer proposal solicitation and peer review that ensures a high quality process* and review outcome while reducing administrative costs**

* qualified reviewers
* minimize conflicts of interest
** maximize $ going to research

Empower reviewers to not only evaluate merits of individual proposals, but also to ensure that overall rank ordering and funding portfolio best fulfills the goals/intent of the initiative

Reduce applicant administrative burdens so investigators can focus on proposing and conducting outstanding research

UC Grants Peer Reviews Scope & Costs

Funding Program	# App	# Award	Total $$ Request	Total Annual Award	Total Awarded/ Allocated (multi-yr)	Appl. Award (%)	$ Award (%)	Review Cost (+staff)	Review Cost % $$ Award
Lab Fees (pre-PARC)	565	66	$543M	$19M	$55M	**12%**	**10%**	**$200 K ($300 K)**	0.36% (.55%)
MRPI MultiCampus Research	139	37	$346M	$14M	$71M	**27%**	**20%**	**$118 K ($243 K)**	0.17% (.34%)
CCSIP (Canada California)	46 (110 LOIs)	15	$2.9M	$1M	$0.99M	**33%**	**33%**	**$18K ($143 K)**	1.82% (14%)
UC Discovery Grant	106	48	$15.6M	$2M	$5.8M	**45%**	**38%**	**$25K ($150K)**	0.43% (2.6%)

UC Grants Peer Reviews Scope & Costs

Funding Program	Review Dates	# Panels	# Reviewers	Type/Location of Review	Award Types	Review Panels
Lab Fees (pre-PARC)	Nov. 2008	6	61 20 ap/rv	in-person; Westin SFO	1 Award type; req. Lab-UC partnerships 1-3 yr	Biology, BioEng, Biophysics; Chemistry, Physics & Materials Science; Energy, Environment, Earth & Space Sciences; Engineering & Computer Science; Social Science, Statistics & Mathematics
MRPI	May 27-28, 2009	7	36 8 ap/rv	in-person; Westin SFO	1 Award type req. 3 campuses minimum; 2-5 yr	Arts & Humanities; Social & Behavioral Sciences; International & Area Studies; Biological & Health Sciences; Emerging Sciences &Technology; Critical CA Issues (esp Energy & Environment)
CCSIP	July 7, 9, 10, 14, 2009	4	22 4 ap/rv	**via iLinc** videoconference	2 Award types require UC-Canadian partnerships 1 yr	Health, Life Sciences & Medical Technologies; Transportation, Energy & Clean Technologies; Information & Communication Tech & Multi-media
UC Discovery Grants	Sept 3, 11,16, 21, 2009	4	33 7 ap/rv	**via iLinc** videoconference	2 Award types require Industry match 1-4 yr	Physical Sciences & Engineering; Biomedical and Health Sciences & Imaging; Communications, Networking, Microelectronics & Digital Media

Review Process & Outcomes: What we did differently

PARC **ensured or enhanced review quality and outcomes** by

→ **Instituting Panel Rank-ordering**
Ensure overall ranking reflects intent of panel (addresses issues of reviewer calibration and order of review)

→ **Instituting Portfolio Review Panel process**
Recommend funding across panels to ensure overall portfolio reflects program priorities and systemwide priorities.

→ **Expanding Eligibility for Discovery Grant applicants (industry partner)**
Increased competition ensures that the highest quality proposals are funded

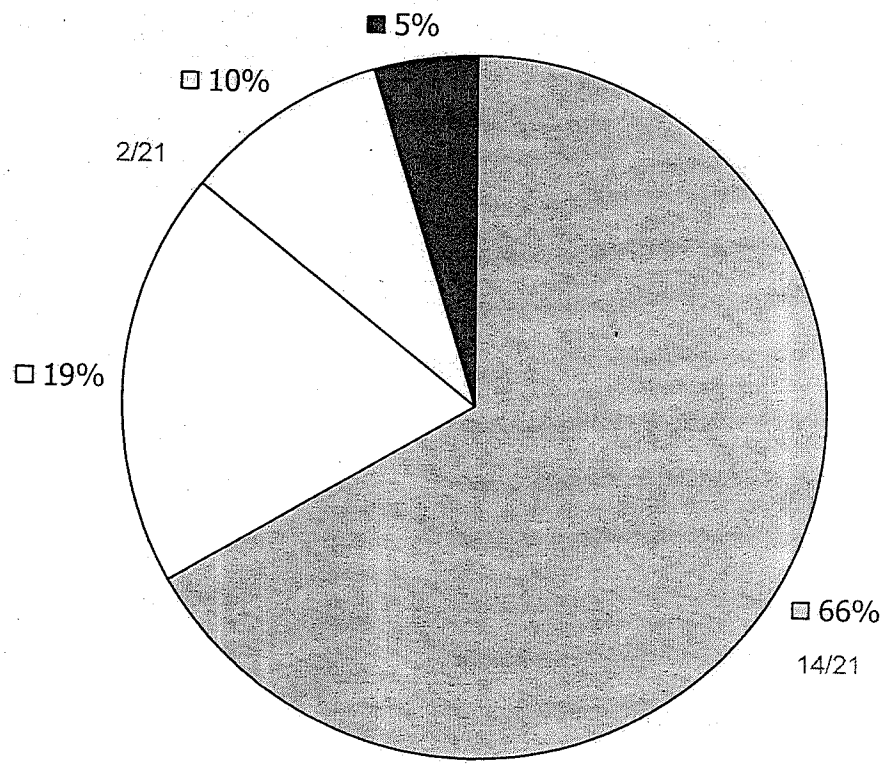
→ **Utilizing generalist analysts for process expertise, focusing specific science/content expertise on reviewer recruitment; assignments, etc.**
Initiative leads (eg Gretchen Kalonji) and in-house field experts; VCRs, Faculty and Chair referrals; Reviewer Databases

→ **Piloting and expanding iLinc videoconferencing**
Reducing reviewer time commitment by eliminating travel allows busy researchers to participate with less disruption; Utilizes technological advancements underpinning the research investments;

Retained flexibility to respond to specific funding program requisites
e.g.: Coordinated "program review" of CCSIP LOIs; two or more mechanisms as needed; etc.

UC Discovery Grant Reviewer Survey Results

If you have participated on in-person review panels before, how would you compare that experience to having participated in this video conference peer review panel?

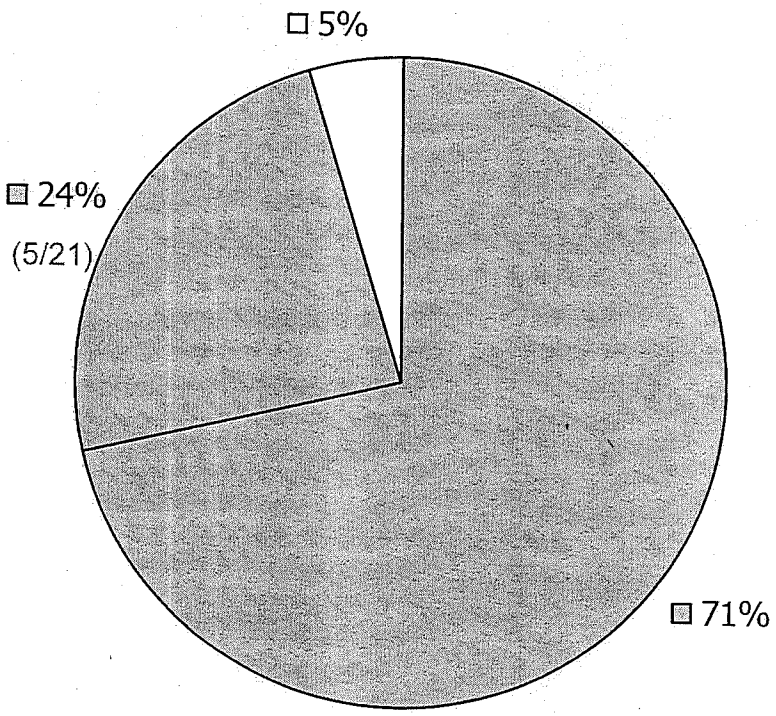


- The quality of the discussion and interchange in the video panel was superior to that of in-person participation
- The quality of the discussion and interchange in the video panel was equal to that of in-person participation
- The quality of the discussion and interchange in the video panel was inferior than that of in-person participation
- I haven't participated on an in-person review panel before
- I did not participate using the iLinc video-conference software, so I am unable to compare the experiences

16 of 20 (80%) reviewers felt iLinc discussion equal or better

UC Discovery Grant Reviewer Survey Results

Which statement best reflects your opinion of the video conference peer review process?



- On balance, the time savings, reduction of costs, and/or convenience of a video conference meeting outweighs the benefits of in-person discussion.
- Although the video conference meeting saves time and money, I prefer in-person meetings even if it requires travel on my part.
- I find the video conference and in-person peer review processes equivalent and have no preference.

16 of 21 (76%) reviewers prefer (or neutral to) iLinc videoconf

Streamlining & Efficiencies: Admin tasks we reduced or eliminated

PARC reduced staff/admin effort in areas that have minimal/no impact review quality or outcome

→ **Admin Review of Applications prior to peer review**

(Checked for completeness; confirmed eligibility; flagged obvious concerns; *but detailed budget review for awarded apps only*)

→ **Preparation of Panel-specific Application CDs for all reviewers**

(All apps and review materials online; electronic versions emailed on request)

→ **Reduced post-review critique editing and prep. of Summary Statements**

(Summaries only in cases when written review not complete; allows more timely release of results)

→ **Set Reviewer Assignment load at 10 apps/reviewer**

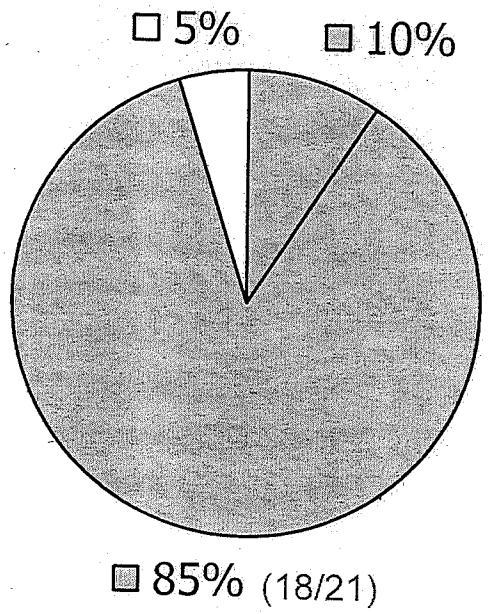
Reduced # of reviewers and consequent admin work

→ **Dramatically reduced admin effort related to travel** logistics and processing reimbursements related to in-person meetings (CCSIP & UCDG only)

Continued to provide excellent staff support to meet reviewer needs and answer their questions.

UC Discovery Grant Reviewer Survey Results

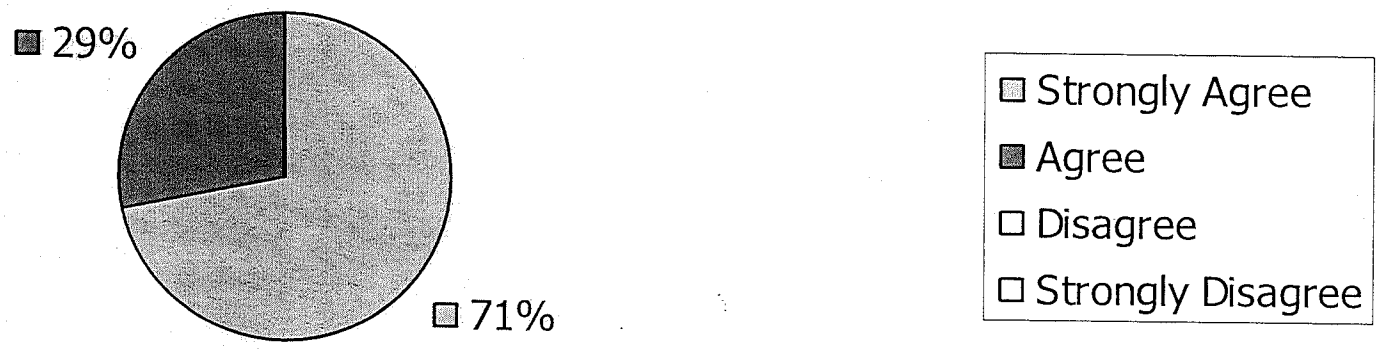
With regard to your role on the subject matter panels, how would you assess your review workload (number of applications assigned)?



- I could have reviewed more applications
- About right
- Too much work

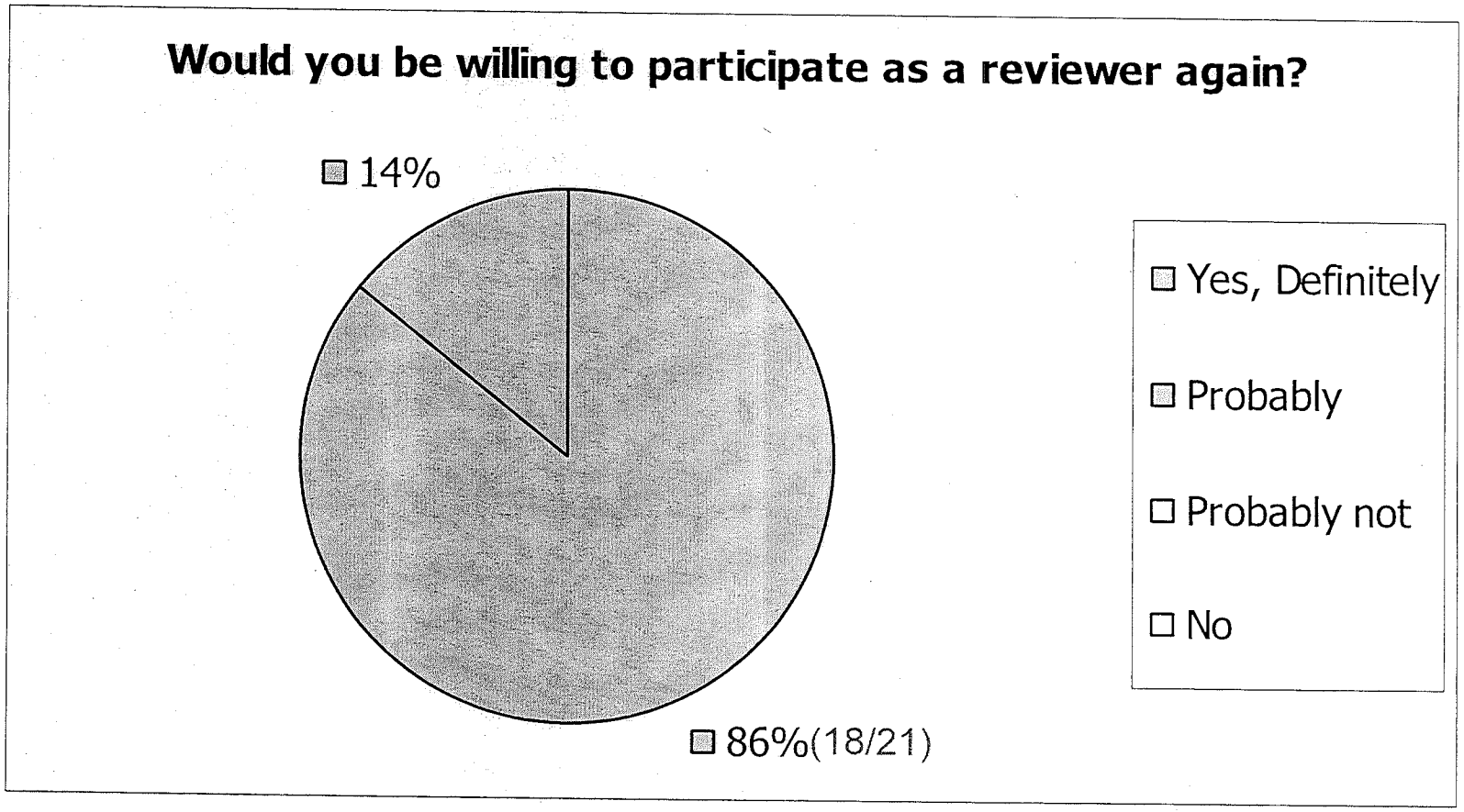
UC Discovery Grant Reviewer Survey Results

The Research Program Application and Review Center (PARC) staff did a good job of coordinating logistical aspects of the review process.



All respondents felt PARC met reviewers' administrative support needs

UC Discovery Grant Reviewer Survey Results



Business Process Analysis
Post-Award Proposed Streamlining

Sponsor's vision:

Develop a model for post-award research grants management that could be used for a proposed centralized award management unit at UCOP.

Improvement targets:

1. Develop consistent process for different research programs
2. Reduce the # steps & burden to grantor & grantee/recipient
3. Reduce post award oversight & maintain program integrity

Current Post-Award Management

		Compliance Checks: Annual Certifications			Award Terms, Conditions and Structure			
Program	Grantee	Human Subject	Animal Subject	Industry Sponsor	Program Pre-approval of Grant Modifications	Final Payment Holdback	Other Funding Model	External Contract
IUCRP	UC	●	●	●	●	●		
CBCRP	UC	●	●		●			
CBCRP	Non UC Academic	●	●		●	●		●
CBCRP	Community	●	●		●	●		●
HIV/AIDS	UC	●	●		●		●	
HIV/AIDS	Non UC Academic	●	●		●	●	●	●
HIV/AIDS	Community	●	●		●	●	●	●
TRDRP	UC	●	●		●			
TRDRP	Non UC Academic	●	●		●	●		●
TRDRP	Community	●	●		●	●		●

step eliminated

Application of Findings

	step eliminated
○	step partially eliminated or streamlined

		Compliance Checks: Annual Certifications			Award Terms, Conditions and Structure			
Program	Grantee	Human Subject	Animal Subject	Industry Sponsor	Program Pre-approval of Grant Modifications	Final Payment Holdback	Other Funding Model	External Contract
IUCRP	UC				○			
CBCRP	UC				○			
CBCRP	Non UC Academic				○			○
CBCRP	Community	●	●		○	●		○
HIV/AIDS	UC				○		●	
HIV/AIDS	Non UC Academic				○		●	○
HIV/AIDS	Community	●	●		○	●	●	○
TRDRP	UC				○			
TRDRP	Non UC Academic				○			○
TRDRP	Community	●	●		○	●		○

Initial Process Redesign: Fast Track - Standard Track

		Compliance Checks: Annual "Certifications"			Award Terms, Conditions and Structure			
Track	**Grantee**	**Human Subject**	**Animal Subject**	**Industry Sponsor**	Program Pre-approval of Certain Types of Grant Modifications	Final Payment Holdback	Alternate Funding Model	External Contracts
Fast	**UC**				○		?	
	Non-UC Academic				○		?	○
Standard	**CBO & Referrals**	●	●	●	○	●	?	○

	step eliminated
○	**step partially eliminated or streamlined**
●	**step continues to be performed**
?	**open question**

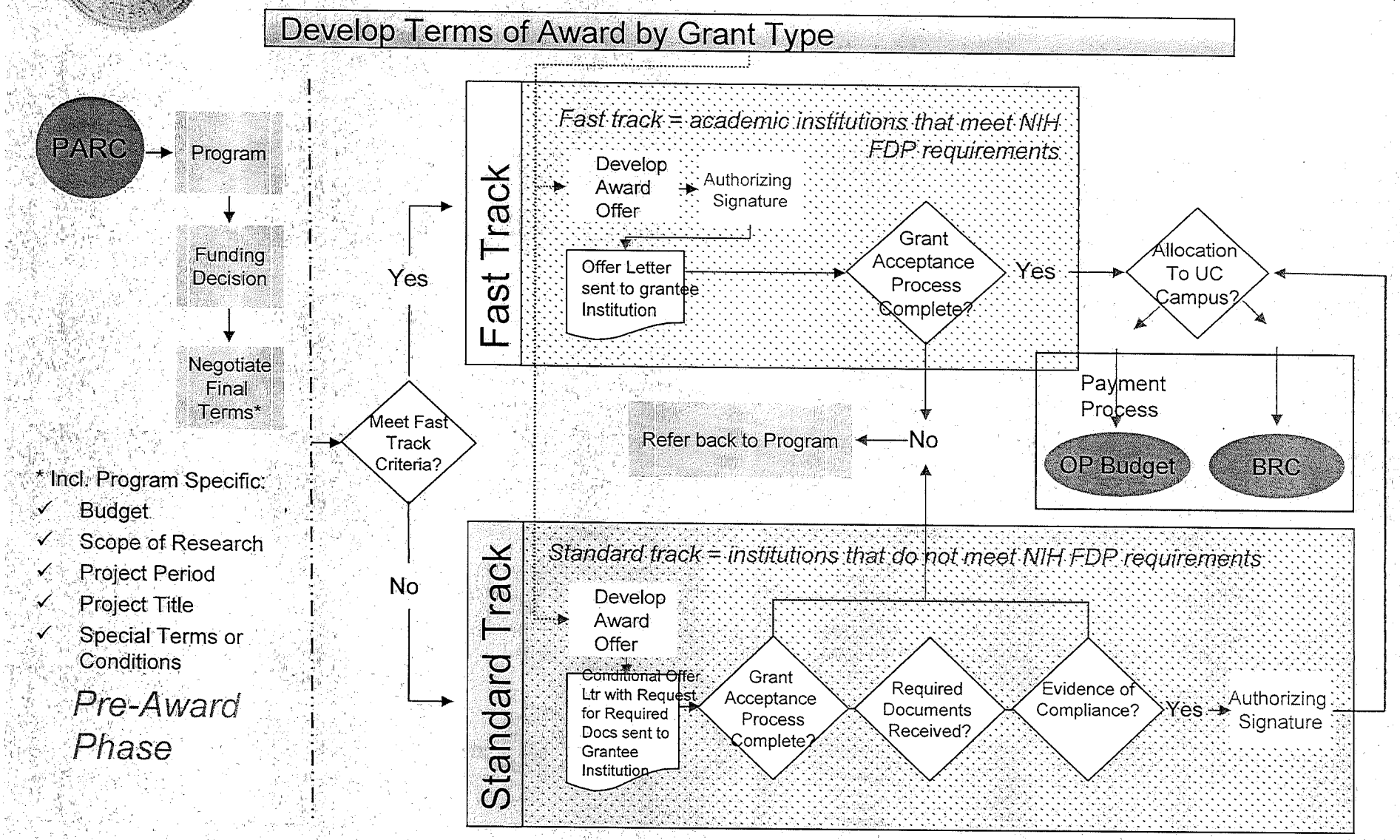
Key Recommendations

- Create a Fast Track to streamline processes for grantee institutions which meet FDP requirements (i.e. lower risk grants)

**Fast-track and IIRA map onto each other to high degree*

- Standardize award terms across ORGS Programs
- Delegation of Authority within ORGS
  - Push approval authority to the lowest level possible in order to reduce multiple or duplicative layers of review
  - Eliminate the need for Strategic Sourcing sign-off on non-UC grants
- Create a "matrix for expanded authority" to clearly delineate grantee and program responsibilities

Initial Funding Phase

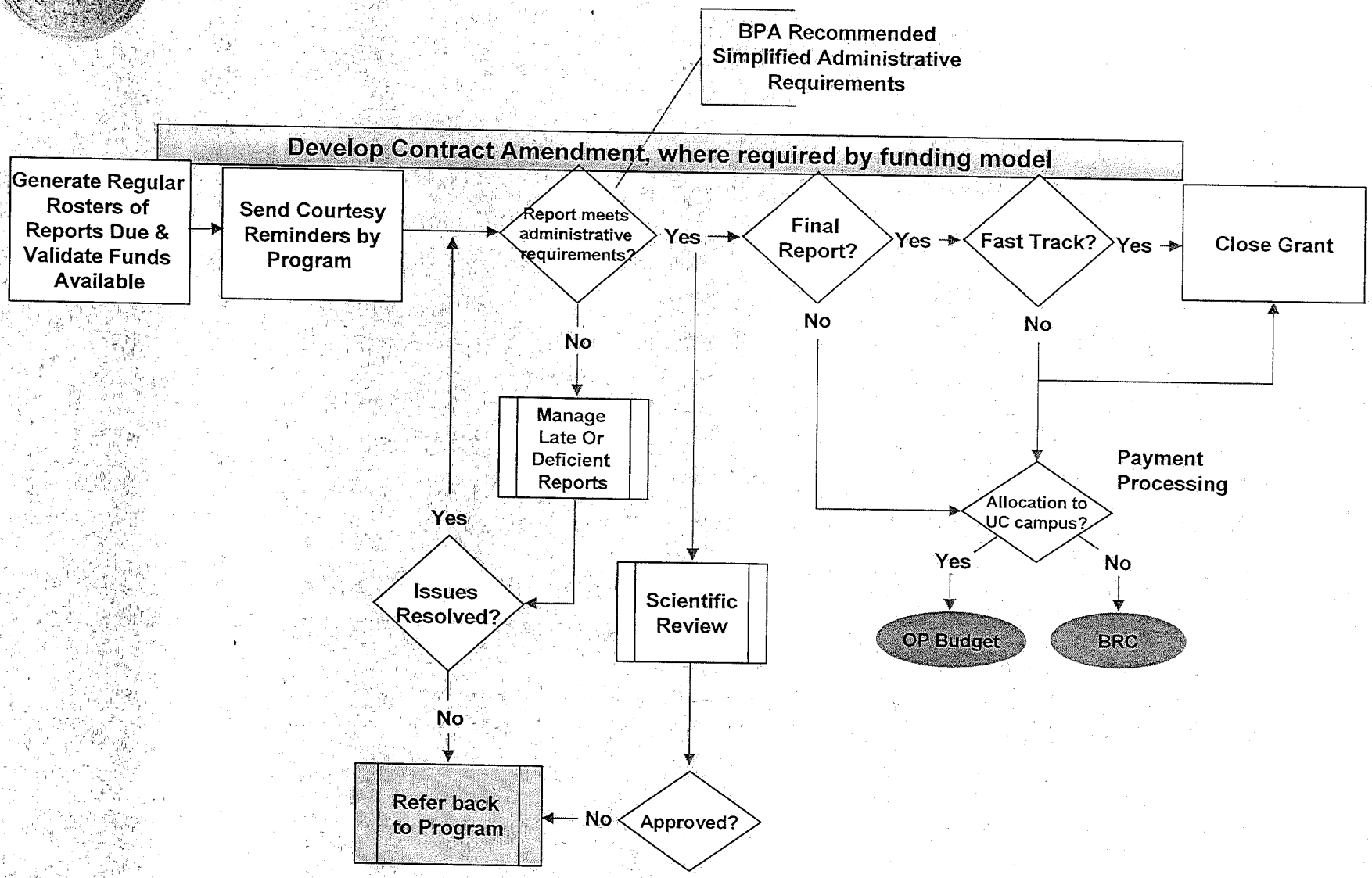


* Incl. Program Specific:

- ✓ Budget
- ✓ Scope of Research
- ✓ Project Period
- ✓ Project Title
- ✓ Special Terms or Conditions

Pre-Award Phase

Reports & Annual Allocations



NAR Discussion

University of California,
Office of the President
Oct 27, 2009
Shelley Sweet

I4 Process

Agenda Items

- Overview
- What is the process
- Differences in the programs
- What questions should we be asking?
- Recommendations

UC and State Research Programs

UC Research Initiatives/Programs

- Lab Fees (LFRP)- research supports mission of labs and collaboration between labs and UCs - $22M/yr ($60M/3 yrs)
- Multi Campus Research (MRPI)- system-wide research to address UC priorities - 14M/year ($70.5 M/5 yrs)
- Canada/CA Collaborative (CCSIP -joint research goals of Canada and UCOP - $1M/yr (2 yrs only)
- UC Discovery (supports research and tech in collaboration with industry partners- $10 -16 M/yr

Statewide Research Programs

- Breast Cancer (CBCRP) ($16.0 M/yr)
- HIV/AIDS (CHRP) ($11.4 M/yr)
- Tobacco (TRDRP) ($16.2 M/yr)

Figures for 2008-2009

Research into the cause, cure, treatment, earlier detection, and prevention of breast cancer, HIV/AIDS, and tobacco-related diseases

I4 Process 3

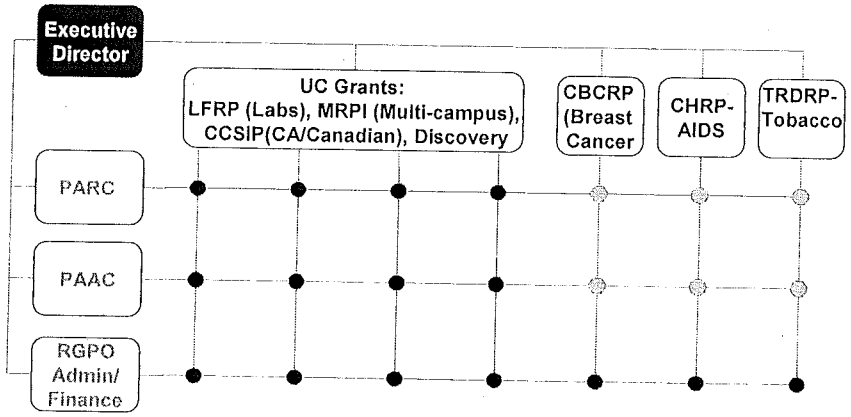
Input Requested from NAR

Some questions the Committee may consider in its overall assessment of the proposed RGPO structure, operations and plans.

- On Quality:
  - Do the structure, operation, and plans for the RGPO investigator-initiated awards (IIRA) 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 RGPO plans adequately addressed risks to quality in the distribution and management of awards?
- On Efficiency:
  - Are 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 IIRA 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 IIRA 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 changes to the RGPO IIRA distribution and management adequate? Have the RGPO plans adequately addressed risks in schedules for implementation?

I4 Process 4

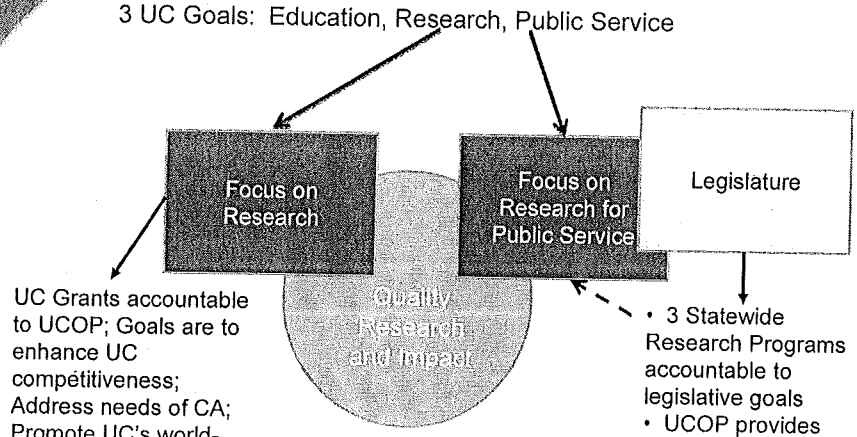
Orgs Research Grants Program Office



I4 Process 5

Goals

3 UC Goals: Education, Research, Public Service



UC Grants accountable to UCOP; Goals are to enhance UC competitiveness; Address needs of CA; Promote UC's world-class research status

- 3 Statewide Research Programs accountable to legislative goals
- UCOP provides appropriate administration

I4 Process 6

Goals

UC Research

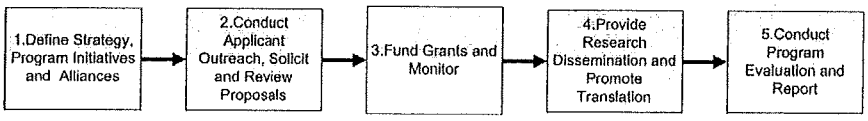
- **Research:** Promote Outstanding Research at the University of California (system-wide) Address needs of California, the nation, and the world by promoting research that improves the economy, quality of life, environment, health, education, security and well-being of all
- **Competitiveness:** Enhance UC competitiveness by positioning UC as premier research institution
- **Innovative Research:** Seed new research or promote increased research investments in areas of critical need (e.g.: 4 areas currently identified)
- **Synergy:** build on the research strengths of the individual UC campuses to create more than the sum of parts

State Research Programs

- **Public Health Impact:** To support research efforts into the cause, cure, treatment, earlier detection, and prevention of HIV/AIDS, breast cancer, and tobacco-related diseases.
- **Innovative Research** :To fund innovative and creative research, with a special emphasis on research that complements, rather than duplicates, the research funded by the federal government and other entities.
- **Dissemination:** To disseminate research results to the public and the health care community in order that these findings may be applied to the planning, implementation, and evaluation of HIV/AIDS, breast cancer, and tobacco-related programs
- **Translation:** To facilitate the translation of research results into commercial, alternate technological, and public health applications

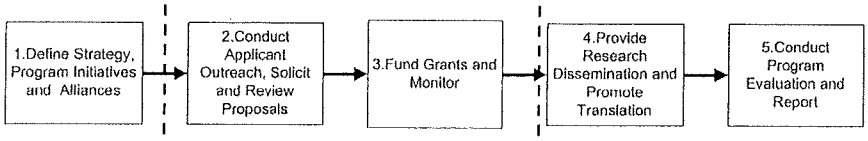
Grant Process

High Level Map of Grant Program Process –
AS IS, Oct. 2009



Grant Process

High Level Map of Grant Program Process – AS IS, Oct. 2009



SRP's only in RGPO

This step is outside of RGPO for Lab, Multi-Campus and CCSIP

Currently PARC and PAAC handle this for UC grants

Currently SRP's do this for their programs

Currently SRP's only

Some of this work is outside of RGPO for UC Grants (dissemination, some evaluation)

I4 Process 9

Investigator Initiated Research - UC vs. SRP Differences

UC Research Programs

- Staff answer applicant questions
- Currently does not have program officers over grant types
- Staff match reviewers to applications; use outside science experts to help for specific cases
- Use letter of intent (LOI) – some to determine # of applicants, some to qualify applicants
- Range of CA reviewers (aver. 75%) and outside reviewers
- Vote electronically with paper back - up
- Use Portfolio Committee to recommend funding portfolio based on program goals/UC priorities, scientific score and rank and available budget
- Feedback - Provide average score and reviewer critiques; staff summary of discussion only rarely

Statewide Research Programs

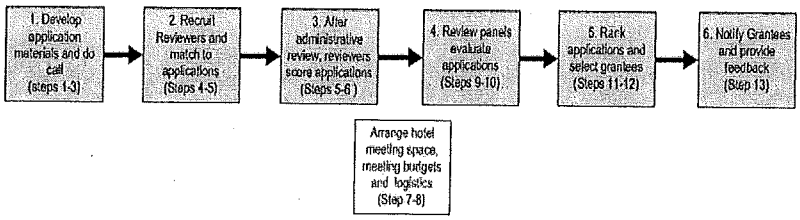
- Use program staff with science expertise to answer applicant questions
- Use program staff with science expertise to match reviewers to applications
- Breast Cancer has voluntary LOI; AIDS has LOI as opportunity to provide technical assistance.
- 100% non-CA reviewers
- Breast Cancer uses paper vote, then enters into GRAIL and auditors match paper to GRAIL (because of former audit problem)
- Advisory Councils subcommittees evaluate applications against program objectives (program staff do training for review)
- Advisory Councils select grants based on scientific score, program objectives and funding $ ranking
- Feedback – Provide detailed reviewer written evaluations, summary of review panel discussion; CBCRP programmatic review scores and comments also

I4 Process 10

Identified Three Types of Grant Processes

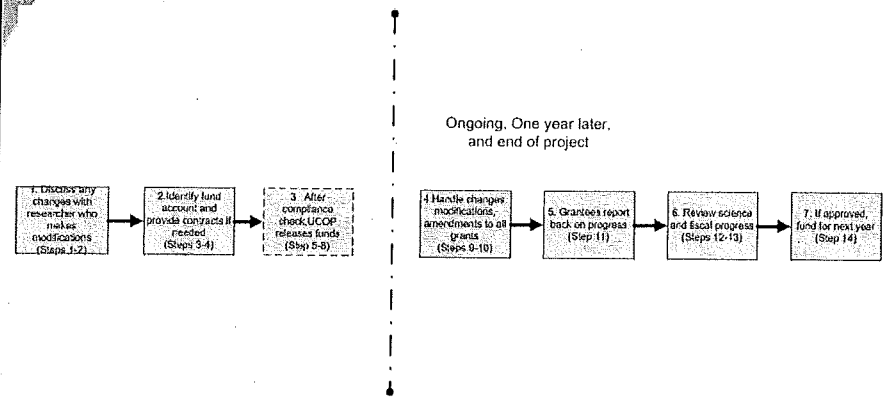
- Investigator-Initiated Awards
- Community Based Participative Research
- Program-Directed Research Initiatives

Investigator Initiated Research – step 2



Attachment 1

Investigator Initiated Research – Step 3



Attachment 1

What Questions Should We Be Asking?

- How do we create the most value while consuming the fewest resources?
- Where do we have common processes and where do we have different processes?
- How do we begin to make improvements?
- How can we make our processes agile and adaptable?
- How can data and systems help us?

How do we create the most value while consuming the fewest resources?

Rules for Redesign

1. Design the process around value-adding activities
   - Different values (goals and steps of worth) for UC Grants and SRPs
   - For Investigator Initiated Research
     - Receiving numerous quality applications
     - Using scientific expertise as advisors
     - Having representative stakeholders in the review process (including advocates, public health for SRP's)
     - Feedback to the applicants
2. Eliminate waste – such as waiting, rework, reviews, set up

Fewest Resources- Efficiencies

- Minimum resources and right resources
- Simplified consistent processes
- Scalability of sub processes

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How do we begin to improve efficiency?

Standardize the process

- Document process, agree on roles and responsibilities, and implement steps and sequence.
- Use standardized modules to allow customization of sub processes
- Agree on standard data definitions and data elements for collection.

Recommendations

- Start by stabilizing (first step toward standardization) investigator initiated research in one unit; bring in SRP with science subject matter experts (SMEs) to PARC; Document process, agree on roles and responsibilities, and implement steps and sequence.
- Stabilize PAAC; it needs more staff before it can begin to provide 'full service' for step 3 of Investigator Initiated process
- Continue to standardize meeting logistics and hotel sites with RGPO Admin
- Standardize data collection elements
- Eliminate wastes – still potential for more

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Where do we have common processes and where do we have different processes?

Rules for Redesign

Ensure a continuous flow of the "main sequence."

- If inputs coming into the process naturally cluster, create separate processes for each cluster
- Push decision making down to the lowest reasonable level.

Recommendations

Establish 3 different types of processes

1. Investigator Initiated
2. Community based participatory research
3. Program Directed Research Grants

- Each one could have a Center of Excellence to look for commonalities, efficiencies and build best practices

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How can we make our processes agile and adaptable?

Rules for Redesign

- Use different standardized modules to allow customization of sub process
- Push decision making down to the lowest reasonable level.
- Identify need for generalists vs. specialists

Recommendations

- e.g., one call template but with ability to customize; handle different scoring criteria
- e.g., use budgets instead of small dollar approvals; reduce multiple levels of approval
- e.g., know when generalists work and when specific SME's are needed and how to find both easily

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Center of Excellence (COE)

Roles of a COE

- Set standards
- Provide common tools and methods
- Identify, pilot and share best practices
- Train and educate on business processes; coach process teams
- Integrate business processes at enterprise level
- Recommend prioritizing and allocating scare resources to business process improvement efforts
- Track and report process performance metrics

Organizational Structures

- Single organizational unit for each process – producing results, identifying and sharing best practices
- Virtual organization (members convene monthly, email distribution to relevant parties)
- Advisory unit -coaches to each process, training responsibility, recommendations enterprise-wide integration
- Organized around functional segments (Research COE, Human Resources COE)

Source: BPM Common Body of Knowledge, pp. 150-152

I4 Process

FTE for Investigator Initiated Programs –

1.Define Strategy, Program Initiatives and Alliances → 2.Conduct Applicant Outreach, Solicit and Review Proposals → 3.Fund Grants and Monitor → 4.Provide Research Dissemination and Promote Translation → 5.Conduct Program Evaluation and Report

		# FTE	# FTE		
UC Grants		3.7 (Jan – June 2009)	1 (Jan- June 2009)		
Breast Cancer, AIDS, Tobacco		4.1 (Jan-June 2009)	3.9 (Jan-June 2009)		
		# Apps	# Grant contracts, renewals/exten		
UC Grants		391 (Jan – June 2009; 500-900 annualized)	298 (July-Dec. 2009)		
Breast Cancer, AIDS, Tobacco		453 (2008-2009)	483 (2008-2009)		
		$ Awards			
UC Grants		$50 M			
Breast Cancer, AIDS, Tobacco		$25.3 M			

I4 Process 20

How can data and systems help us?

Rules for Redesign

Design the whole processes rather than component tasks.

- Capture information once, at the source, and share it widely.
- Capture at the beginning what's needed for later steps.

Recommendations

Examples

- Develop databases of reviewers that can be used in multiple ways
- Capture initial data for applications and then more detailed once grantee is selected (Breast Cancer and UC are doing this)
- Standardize data collection elements
- Creation an on-line decision support system producing standard management and stakeholder reports
- Start keeping management metrics, for effectiveness and efficiency
  - e.g., apps/FTE; contracts/FTE
  - e.g., treatment vs. prevention $
- Buy systems that will interface information across the 5 steps in the Grant Application and Management process.

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NAR Discussion Afternoon

University of California,
Office of the President
Oct 27, 2009
Shelley Sweet

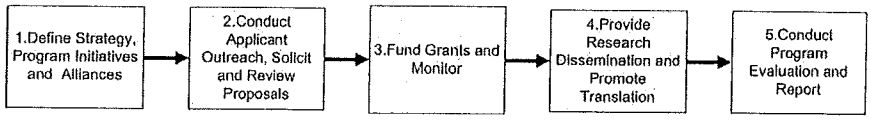
I4 Process

Agenda Items

- Overview of Afternoon Discussion
- Advisory Council members speak out
- Differences in the programs by process for high-level steps 1, 4, 5
- Process 2: Community-based Research Grants
- Process 3: Program Directed Research Grants
- Recommendations

Grant Process

High Level Map of Grant Program Process –
AS IS, Oct. 2009



Goals

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I4 Process 25

Stakeholder Scorecard – 5 members interviewed

Important Processes of 3 SRP programs	# of Comments, Range of grades	Example of Comments
Manage research grant process	3 A, B, B-	We interface well with research community to enable all types of grants; staff have expertise to interface with applicants; found good reviewers outside CA to do peer review; important not to rely only on investigator initiated research; critical to engage stakeholders in this process; AIDS program has a very high reputation in the nation.
Identify gaps for new initiatives using evidence based research	4 A, A, A, A-	Program staff interface well with stakeholders, help to identify and address gaps, and know what research is important; takes a high level of staff expertise to help us with this
Translate findings into society	3 A, B,C	We are developing an international reputation; the addition of operations research has really made a difference in the effectiveness of delivery methods. AIDS is way ahead of the curve on this
Be a hub for information for a network of organizations	2 B, B	Tobacco has been a highly valued resource of information for many small organizations but outreach is down from 3-4 years ago; regular symposiums really contribute to this hub
Staff effectively to meet these processes	2 B, C	Staff has done amazingly during the last 9 months of disruption; need more researchers in social sciences; lack of community person in Breast Cancer saw a drop from 26 apps to 4apps in 2 years; need full time Tobacco Director with specialized knowledge important for credibility

I4 Process 26

Advisory Council Comments

- The Breast Cancer Program "has scientific rigor, attempts to reach all of California, and brings people into the process who would not normally be there."
- With AIDS "we have a unique epidemiology in California compared to the rest of the country. This program is providing a body of knowledge for providers about what's evidence and what effective delivery methods are."
- "Bringing advocates to the table changed the way I approached research- by asking questions I hadn't thought of and really focusing on the patient."

Importance of Steps 1, 4, and 5

Statewide Research Programs

Overall

- Accountable to Legislature
- Have Advisory Councils which represent all stakeholder types – researchers, communities, public health, advocates

Step 1

- Uses regular strategic planning process with Advisory Council with evidence based research to determine initiatives

Step 4

- Is responsible for translation of research as well as dissemination to community
- Sponsors or convenes special report, scientific journal issues/articles to summarize finding and outcomes

Step 5

- Evaluate all grants and results against impact in society, using short, medium and long term indicators

Needs for Community Based and Program Directed Research

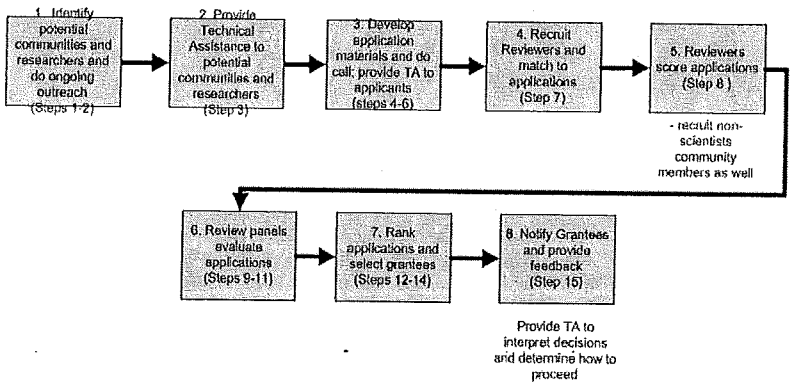
Community Based Research

- Ongoing presence in the community is critical to building relationships
- Science based and collaboration based TA is needed; need both types of reviewers as well
- Use LOI type mechanisms to guide applicants
- Grants have multiple contracts
- Need ongoing TA for grant management

Program Directed Research

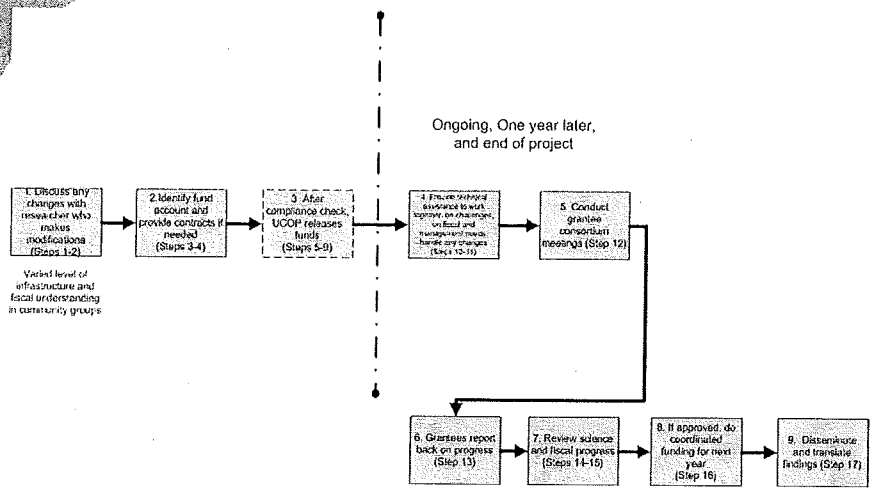
- 3 SRP programs use different methods of convening stakeholders or Advisory Council to develop gaps and use evidenced based research
- Programs have rolled out Program Directed Research differently
- Breast Cancer has more investigator initiated research than other 2
- Programs set detailed milestones with the researcher and coach and monitor regularly

Community Based Research – Step 2



Attachment 1

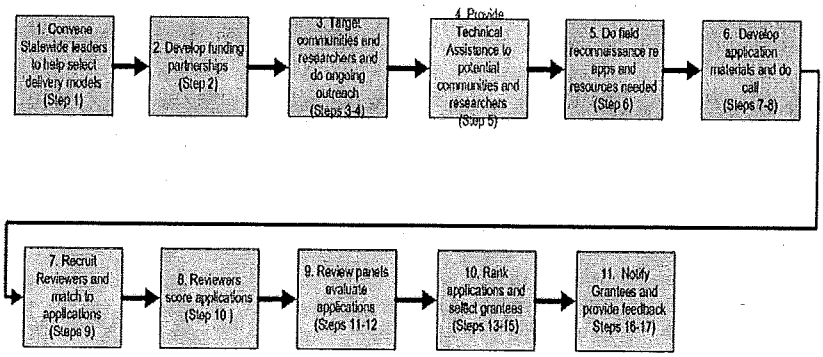
Grant Management – Community Based – Step 3



Attachment 1

I4 Process 31

Program Directed Research Grants or Cooperative Agreements – Step 2



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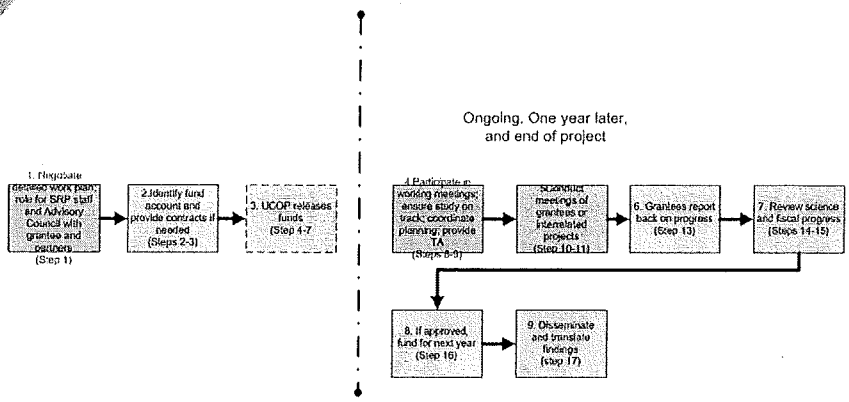
I4 Process 32

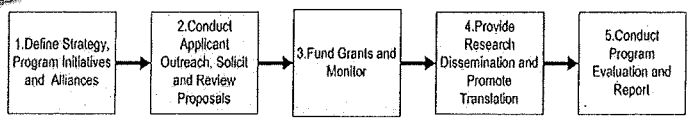
Grant Management – Program Directed – Step 3



Attachment 1

I4 Process 33

Grant Process – FTE by type of process



	$ Awards	FTE (step 2) # apps	FTE (step 3) # grant contracts, renewals, exten)		
Investigator Initiated (Lab, Multi-Campus, CCSIP, Discovery)	$50 M	3.7 391	1 298		
Investigator Initiated (Breast Cancer, AIDS, Tobacco)	$25.3 M	4.1 453	3.9 483		
Community Based (Breast Cancer, AIDS, Tobacco)	$2.6 M	2.2 26	1.5 125		
Program Directed (Breast Cancer, AIDS, Tobacco)	415.6M	2.25 67	1.65 90		

I4 Process 34

Same Rules for Redesign as Investigator Initiated Apply

- Design the process around value-adding activities
- Eliminate wastes – such as waiting, rework, reviews, set up
- Ensure a continuous flow of the "main sequence."

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Where are ongoing relationships important?

Rules of Redesign

Process flow determines resource structure.

- Use multi-functional teams and multi-skilled employees
- Identify need for generalists vs. specialists.
- A single point of contact often helps customers and suppliers.

Recommendations

- e.g. the PARC has done a good job of building multi-skilled employees and uses external specialists when needed
- e.g., Use science and collaborative specialists when needed, and train others to be generalists
- e.g., A single point of contact is especially important in Community based research and Program Directed Research Grants
- 3 SRPs need to maintain a core program with enough staff to have a breadth of scientific experts. Their brand needs to be kept for the legislature and California credibility.

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TRDRP *Research for a Healthier Tomorrow*

Tobacco-Related Disease Research Program

Tobacco-Related Disease Research Program (TRDRP)

Scientific Advisory Committee Comments

Non-Advocate Review (NAR)

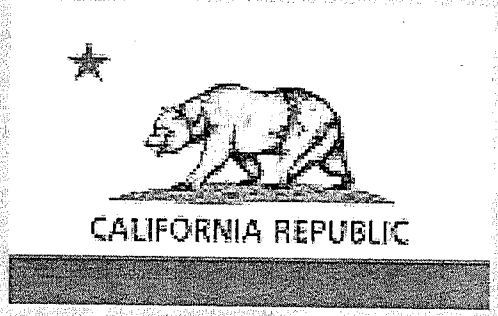
October 27, 2009

TRDRP *Research for a Healthier Tomorrow*

Tobacco-Related Disease Research Program

Legislative History & Context

- **Proposition 99 (1988)**
  California Tobacco Control Effort
  - State Department of Public Health
  - State Department of Education
  - Research Component: TRDRP

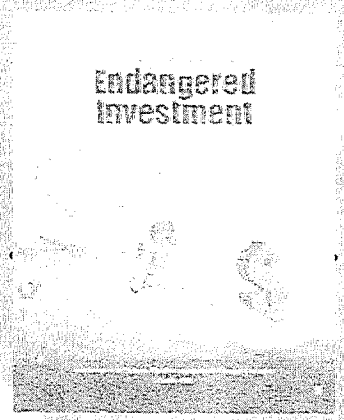


- **Legislative Mandates**
  - Scientific advisory committee, and research review panels (NIH model)
  - Systematic dissemination of research results
  - Program evaluation to assure research is consistent with tobacco control program goals
- **"The Legislature hereby declares that** *public policy research* **is an area of compelling interest because of its potential to determine the best methods for reducing tobacco use on a wide scale among Californians."**

TRDRP *Research for a Healthier Tomorrow*

Tobacco-Related Disease Research Program

State Master Plan Goals for Tobacco-Related Disease Research (2009-2011)



- **TRDRP Research to Support & Inform Achieving Five Strategic Goals:**
  - Strengthen the state's tobacco control program
  - Eliminate disparities in all aspects of tobacco control
  - Decrease second hand smoke exposure
  - Increase utilization of cessation services
  - Limit tobacco industry products, activities and influence

TRDRP *Research for a Healthier Tomorrow*

Tobacco-Related Disease Research Program

TRDRP Scientific Advisory Committee

- **REPRESENTS TRDRP CONSTITUENCIES:**
  - Community-based programs
  - Professional and voluntary organizations
  - Governmental tobacco programs
  - Research institutions
- **RECENT SAC-SPONSORED INITIATIVES**
  - California Award to focus on state-specific research
  - Rapid Response Policy Initiative
  - Environmental Impacts of Tobacco Products
  - Improving Early Detection of Lung Cancer

TRDRP *Research for a Healthier Tomorrow*

Tobacco-Related Disease Research Program

Fulfilling Prop 99 Mandates: SAC Recommendations to UC Sponsor

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

TRDRP Functions	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)
	Initiatives, Grant Mechanisms & Partnerships	State-wide Applicant Outreach	Program-Specific Grant Policies		Evaluate Program-Specific Outcomes & Impact
	Program-Specific Resource (Budget) Planning	Subject Matter Support of Applicants	Negotiate Final Project & Budget Terms		
		Reviewer Subject Matter Expertise & Panel Composition	Review of Scientific Progress	Facilitation of Translation into Commercial Applications	
	3.8 FTE	1.9 FTE	1.5 FTE	1.75 FTE	2.05 FTE

Tobacco-Related Disease Research Program (TRDRP)

Program Director Comments
Non-Advocate Review (NAR)
October 27, 2009

TRDRP *Research for a Healthier Tomorrow*

Tobacco-Related Disease Research Program

Initiative on Environmental Tobacco Smoke Exposure and Health Effects

- **INDOOR AIR QUALITY RESEARCH:**
  - Thirdhand Smoke Exposure and Health Effects
- **WATER QUALITY RESEARCH:**
  - Water Contamination with Cigarette Butts - Effects on Aquatic Life and Humans

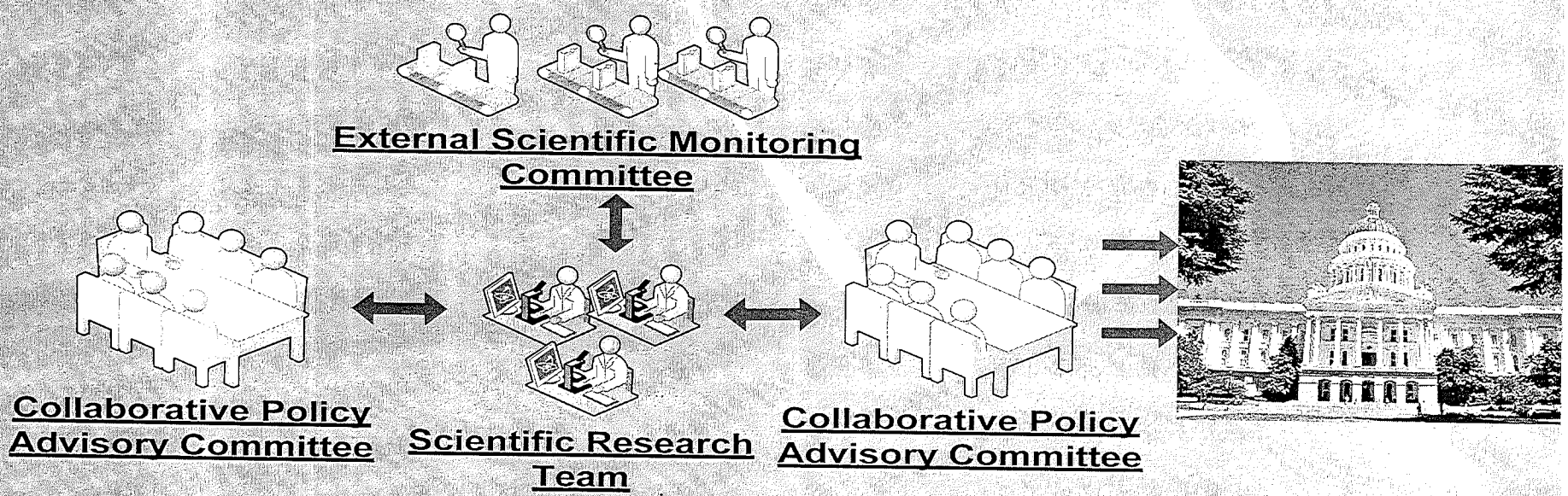
COLLABORATORS

- **US EPA**
- **California EPA**
- **Air Resources Board**
- **National Labs**
- **Research Institutions**
- **Water Resources Control Board**

TRDRP *Research for a Healthier Tomorrow*

Tobacco-Related Disease Research Program

TRDRP Policy Research Initiative



Collaborative Policy Advisory Committee

- American Cancer Society
- American Heart Association
- American Lung Association
- Lung Cancer Alliance
- Americans for Non-Smokers Rights
- California Dept. of Health
- California Dept. of Education
- Local Tobacco Control Advocates

Policy Initiative: Research and Scientific Team

- ***An analysis of the impact of the California Tobacco Control Program on population level trends, including among different population subgroups.***
- ***An estimation of the economic impact of changed smoking prevalence.***
  - Scientific Team:
    - **Stanton Glantz, Ph.D.**, University of California, San Francisco, Principal Investigator
    - **Wendy Max. Ph.D.,** University of California, San Francisco, Co-Principal Investigator
    - **Jim Lightwood, Ph.D.,** University of California, San Francisco
    - **Hai-Yen, Sung, Ph.D**, University of California, San Francisco
    - **John Pierce, Ph.D.,** University of California, San Diego
    - **Karen Messer, Ph.D.**, University of California, San Diego

CALIFORNIA
Breast Cancer
Research Program

California Breast Cancer Research Program

October 27, 2009

CALIFORNIA
Breast Cancer
Research Program

Legislative Mandate for Council Responsibilities

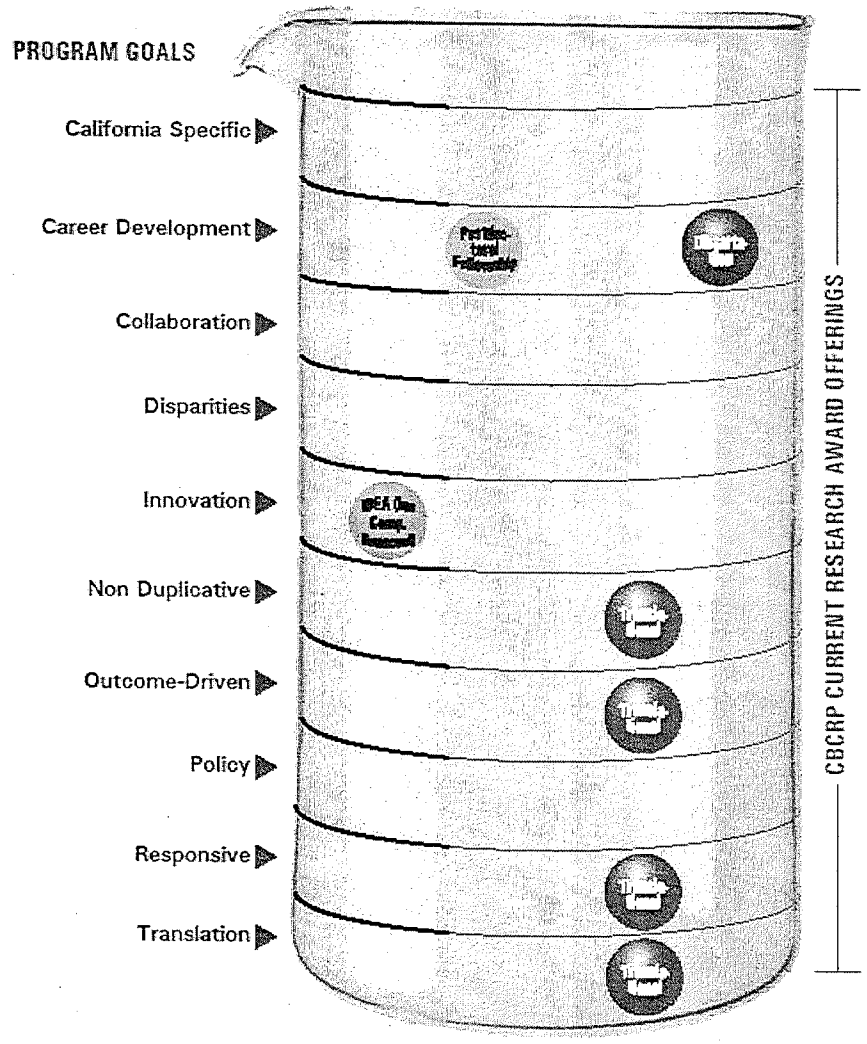
It is the intent of the Legislature that the responsibilities of the council shall include, but not be limited to, the following:

- Development and review of the strategic objectives and research priorities of the program.
- Delineation of resource allocation across the various priorities established for the program.
- Participation in periodic program and financial review.
- Development and review of guidelines to ensure fairness, neutrality, and adherence to the principles of merit and quality in the conduct of the program.
- Development of appropriate linkages to nonacademic entities, including, but not limited to, voluntary organizations, health care delivery systems, industry, government agencies, research entrepreneurs, and public officials.
- Development and review of the criteria and standards for granting awards.
- Oversight and review of the request for applications (RFA).
- Review of research review panel reports and recommendations for grant awards.
- Making of final recommendations on which grants are to be awarded.
- Development and review of oversight mechanisms for the dissemination of research results.
- Development and review of policies and liaison programs to facilitate the translation of research results into commercial, alternate technological, or other applications where it is appropriate.
- Establishment of its own internal rules of operation.
- Participation in the identification and recruitment of breast cancer advocates and survivors, clinicians, scientists, and persons from the science, high technology, or health care sector with relevant expertise for possible participation in a peer review panel. The council may propose to assign a member of the council to sit as a nonvoting member of the peer review panels.

(As Outlined in Health and Safety Code 104145)

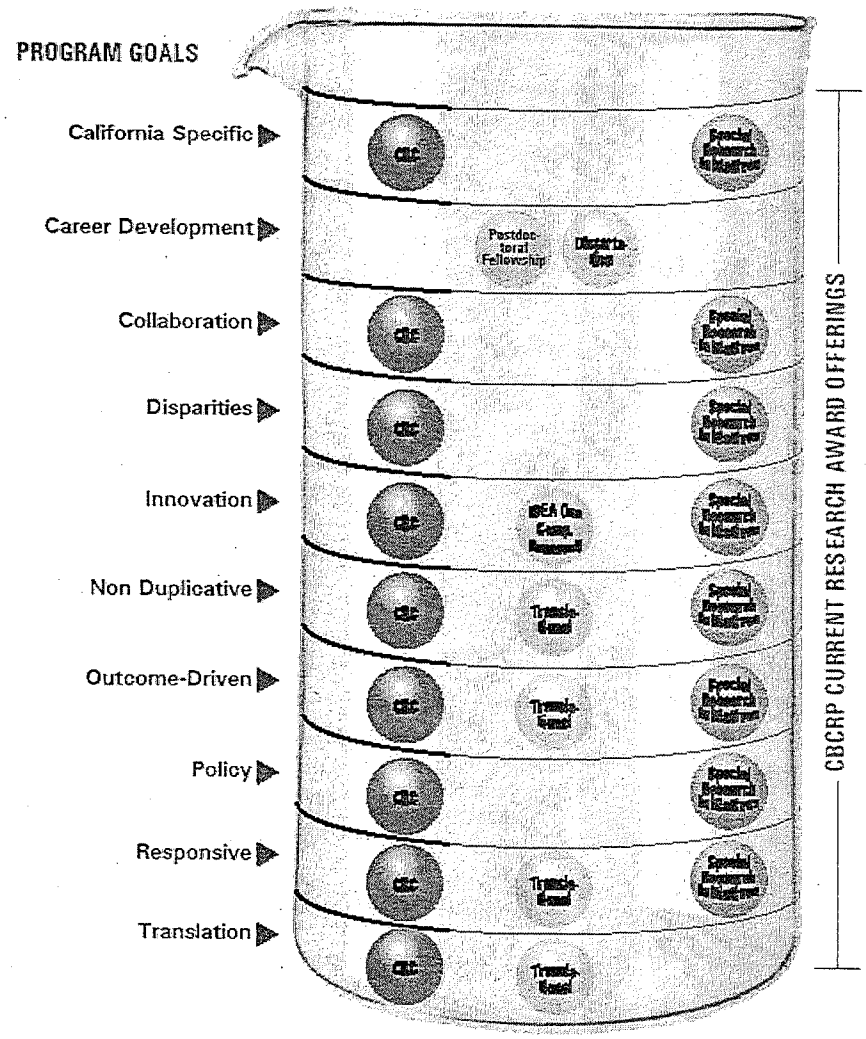
CALIFORNIA
Breast Cancer
Research Program

How Research Awards Address Program Goals



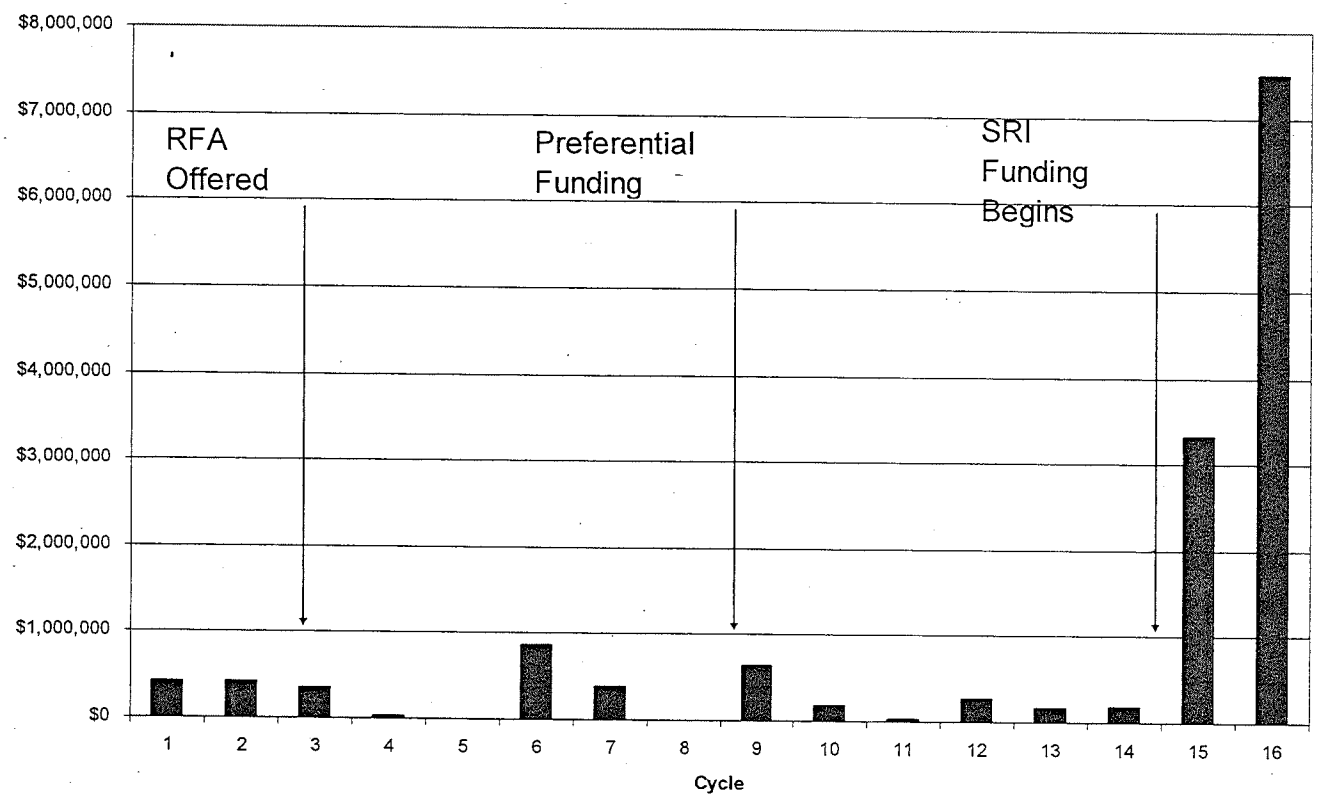
CALIFORNIA
Breast Cancer
Research Program

How Research Awards Address Program Goals



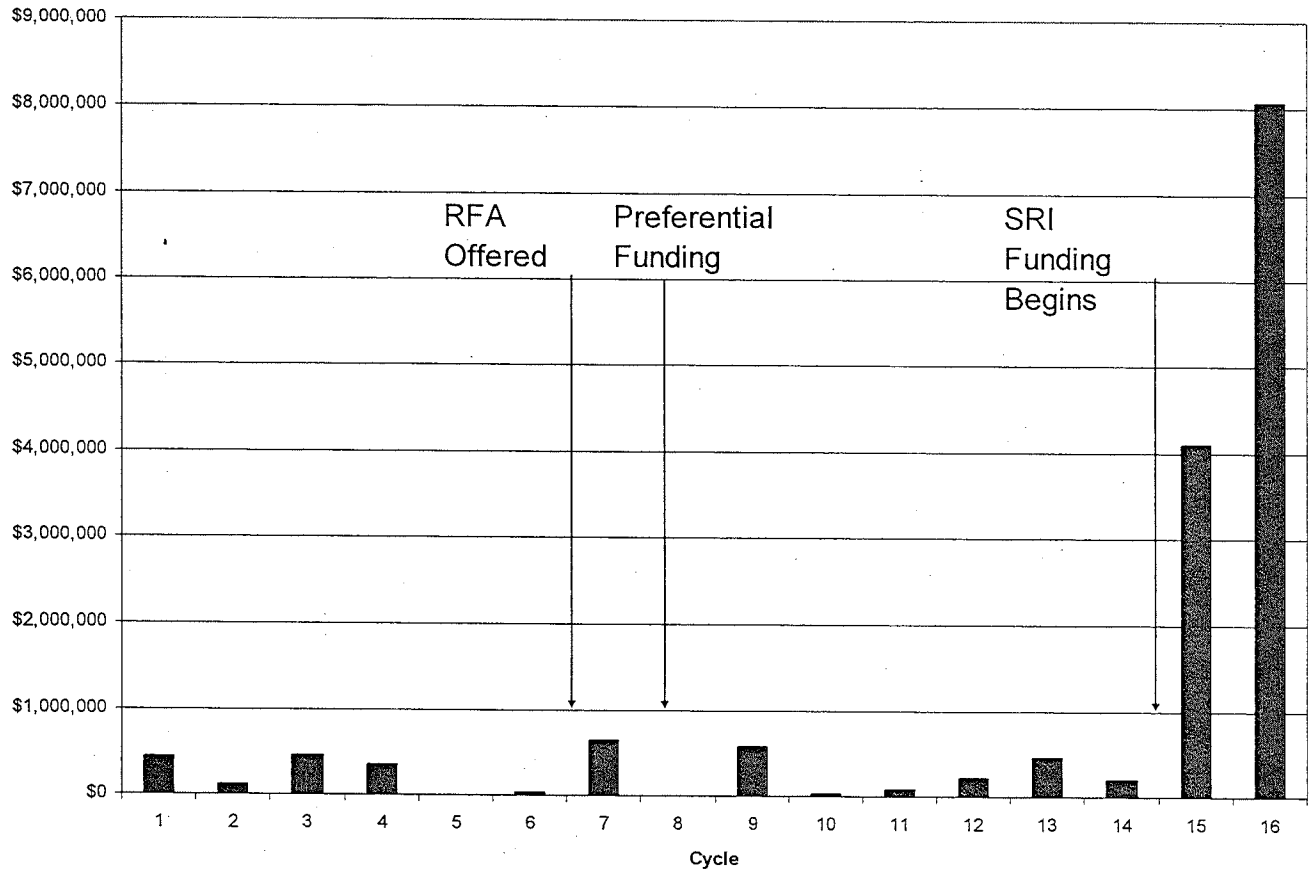
CALIFORNIA Breast Cancer Research Program

Environmental Awards



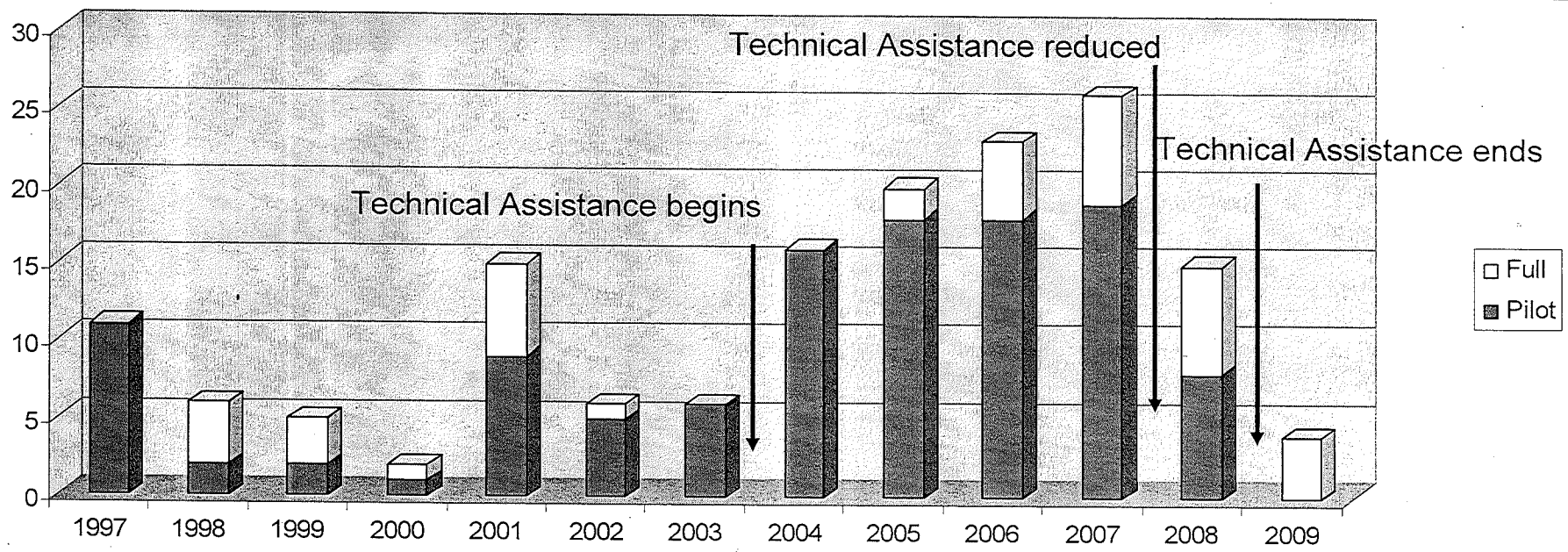
CALIFORNIA Breast Cancer Research Program

Disparities Awards

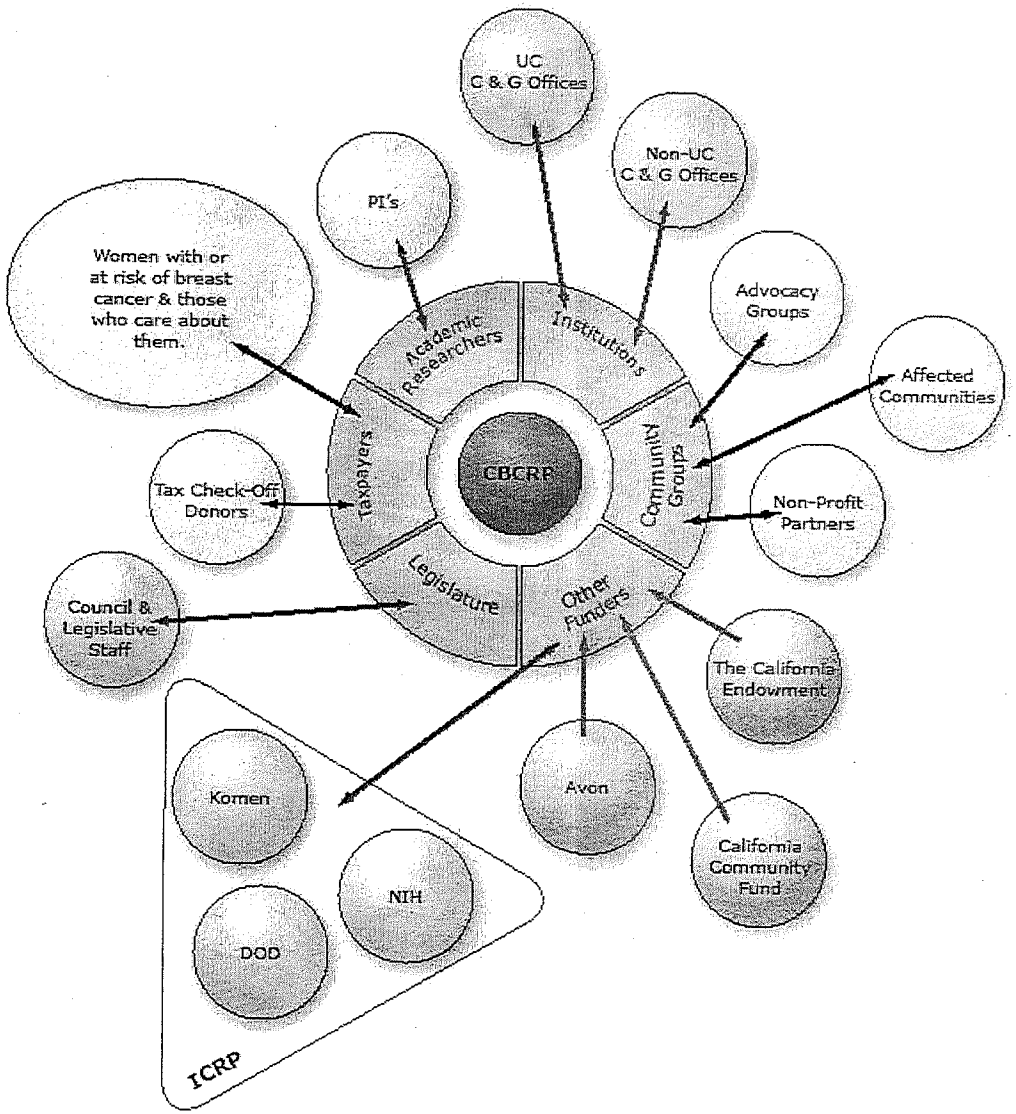


CALIFORNIA Breast Cancer Research Program

CRC Awards

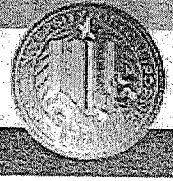


CALIFORNIA
Breast Cancer Research Program



California HIV/AIDS Research Program (CHRP)

Advisory Council Comments
Non-Advocate Review (NAR)
October 27, 2009



CHRP California HIV/AIDS Research Program

State-wide HIV/AIDS Research Program

LEGISLATIVE GOALS

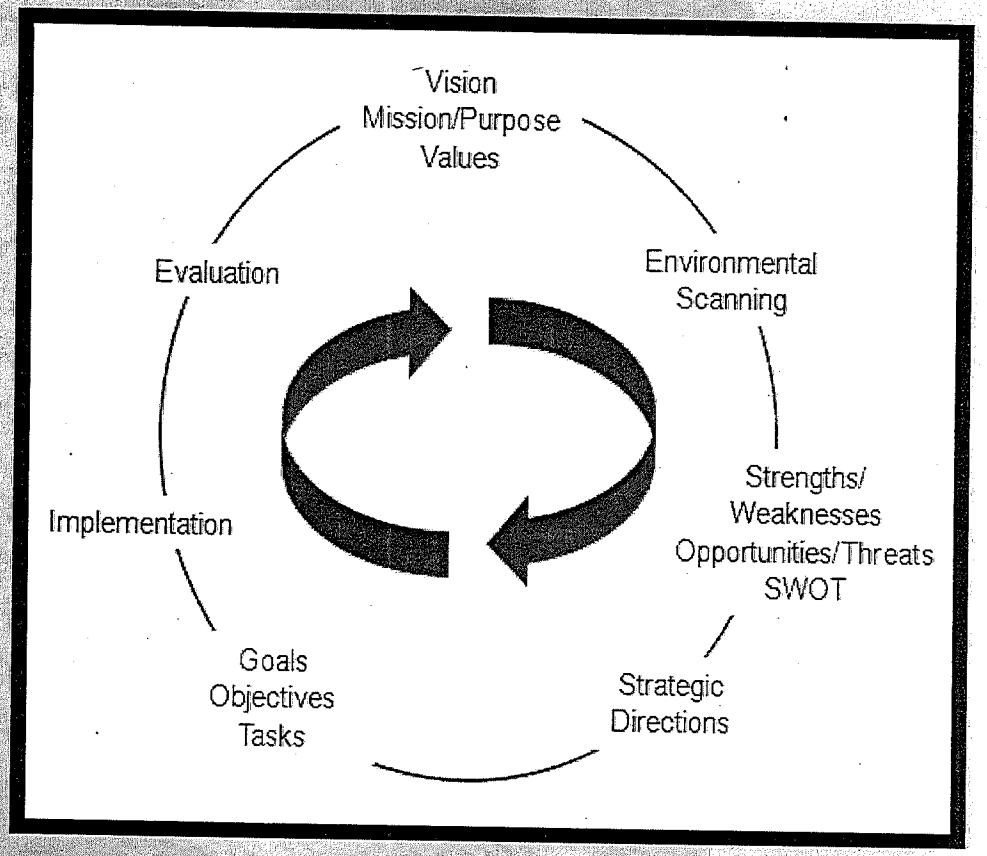
- Research on HIV/AIDS that complements, rather than duplicates federal entities
- Disseminate research results to the public and the health care community
- Facilitate translation of research

Intent of the Legislature:

- "Increase the involvement of community-based organizations in research"
- "Increase funding for social/behavioral research"
- "Share research results with community based organizations and physicians so that they may apply findings to people they serve"
- "Provide for training of inexperienced researchers, health care practitioners and medical students"
- "Facilitate acceleration of clinical trials without compromising research"

CHRP California HIV/AIDS Research Program

California HIV/AIDS Research Program Strategic Plan (2007-2012)



Statewide Strategic Planning Process

GOALS

- ***Catalyze*** *leadership*
- ***Stimulate*** *investment*
- ***Address*** *critical priorities*
- ***Encourage*** *innovation*
- ***Promote*** *impact of research with disproportionately affected communities*
- ***Develop*** *next generation of leadership*

California HIV/AIDS Research Program

Ensuring Achievement of Legislative & Strategic Goals: Summary Results of Council Analyses *(October, 2008)*

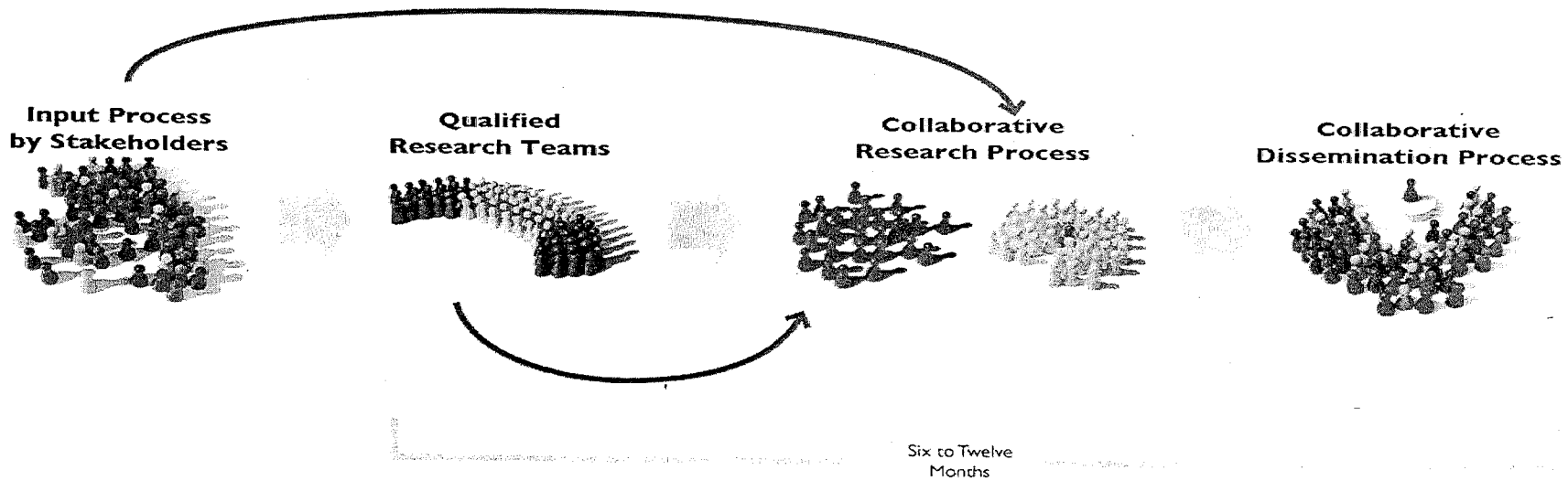
Council Recommended Action	Program Activity or Initiative	Program Staffing FTE
		21.5 FTE as of 7/1/08
Retain	❍Statewide Agenda Setting (e.g., Visioning Change, Stakeholder Input Meetings) ❍HIV/AIDS Research Award Administration ❍Dissemination & Translation ❍Community & Multi-Institutional Research Collaborations ❍Grant Fund Development (e.g., AIDS Partnership California) ❍National & International Research Partnerships	12.0 FTE
Re-negotiate	❍State Interagency Research Agreements	-1.7 FTE
Grant-Out	❍HIV Conference, Think Tanks, Briefings ❍California-Mexico Research ❍Biomedical Matrix Website	-2.5 FTE
Discontinue	❍State HIV Interventions (CHOICE) Website ❍State HIV Care System Database (ARIES) ❍State HIV Indicators Report	-2.6 FTE
Transfer	❍Administrative Support for Proposals & Grants	-3.7 FTE
TOTAL PROGRAM STAFFING REDUCTION (-44%)		-9.5 FTE

California HIV/AIDS Research Program (CHRP)

Program Director Comments
Non-Advocate Review (NAR)
October 27, 2009

CHRP California HIV/AIDS Research Program

CHRP HIV/AIDS Health Policy Research Process



STAKEHOLDERS

- UC & Non-UC Researchers
- Community Based Organizations
- HIV/AIDS Advocates & Consumers
- Private & Public Health Care Providers
- State & Local Health Departments

RESEARCH TEAMS

- UCSF – San Francisco AIDS Foundation – Project Inform
- UCLA – AIDS Project Los Angeles

INTENDED DISSEMINATION

- Federal, State & Local Legislators
- Federal, State & Local Agencies
- Health Care Providers
- General Public

CHRP California HIV/AIDS Research Program

Impact of CHRP Collaborative Policy Research

POLICY RESEARCH STUDY:

- *"Evaluation of the Cost-Effectiveness of the California AIDS Resources Emergency/Health Insurance Premium Purchase Program (CARE/HIPP)"*
  - Principal Investigator: Arlene Leibowitz, Ph.D. (UCLA)

FINDINGS:

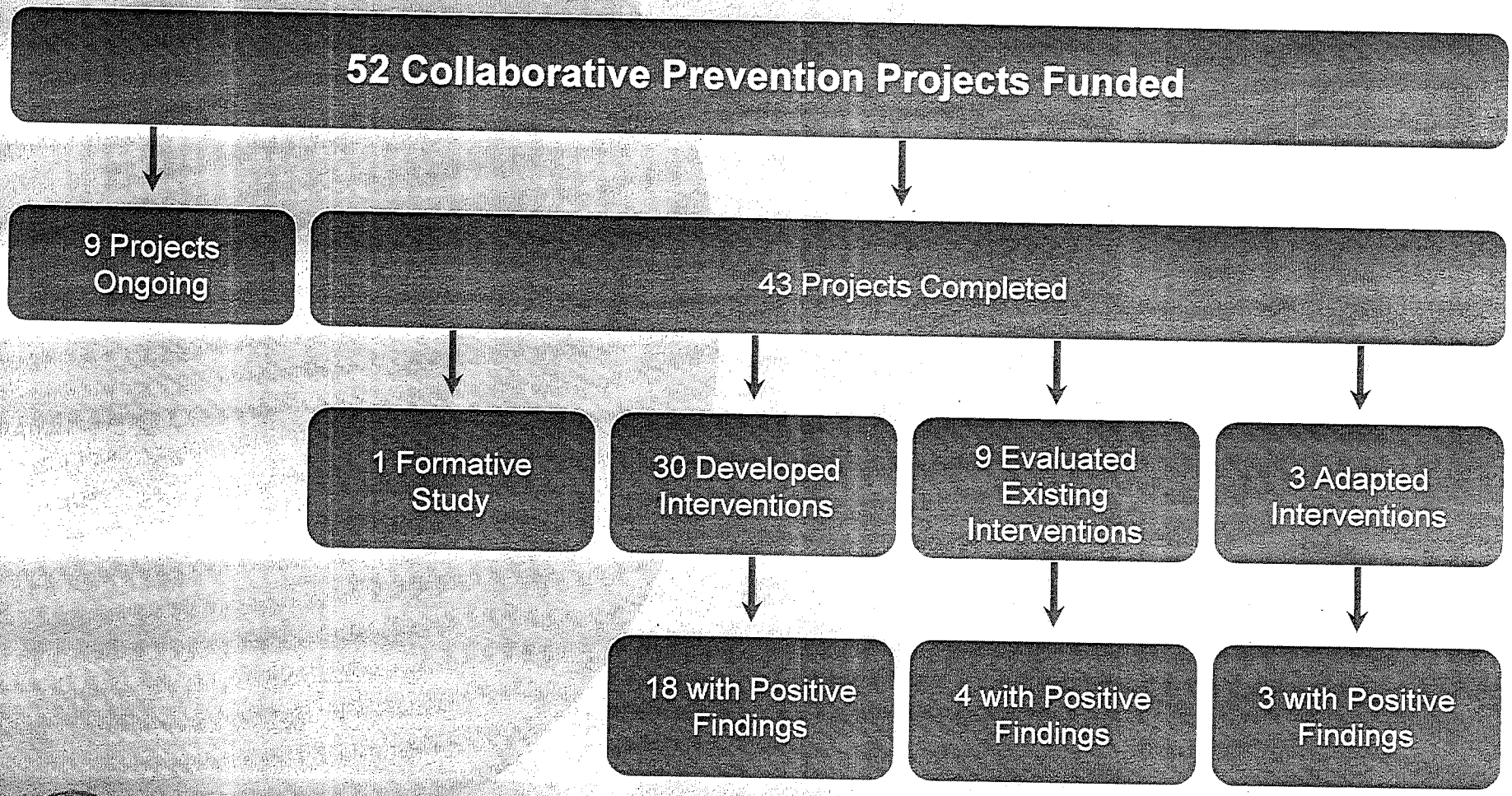
- Program extremely cost-effective in providing care to persons with HIV/AIDS.
- For every $1 the state spends on CARE/HIPP (meds plus care) it saves $2 in its meds only program.
- CARE/HIPP can reduce financial pressure on the meds only program while providing more comprehensive medical care.

IMPACT:

- Based on these findings, the state allocated a significant increase in funding for CARE/HIPP.

CHRP California HIV/AIDS Research Program

CHRP Community Collaborative Research Studies (1998-2008)



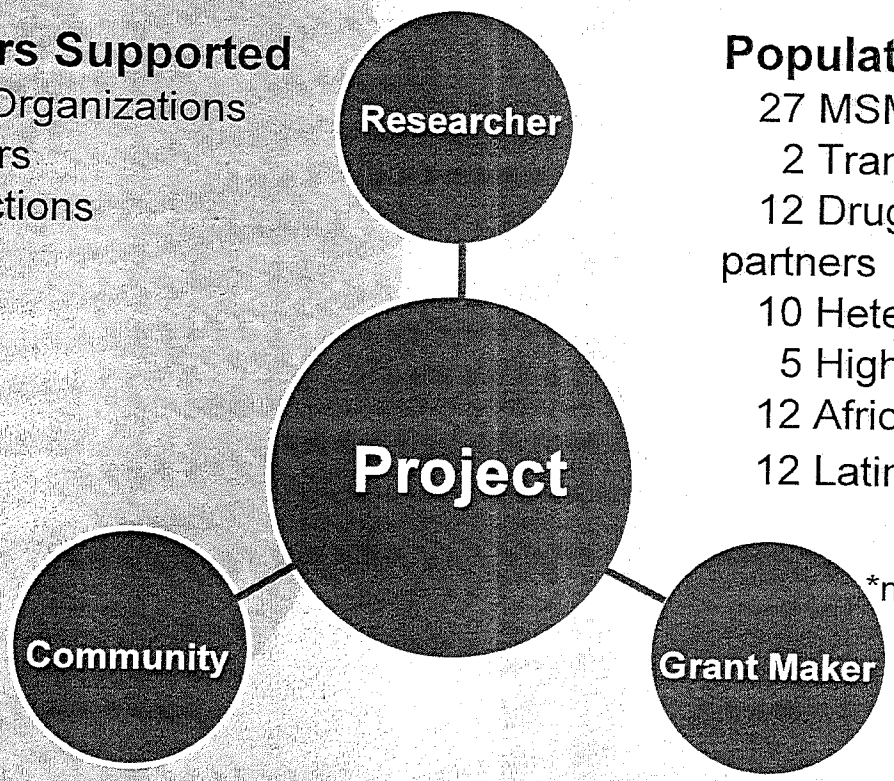
CHRP California HIV/AIDS Research Program

CHRP Community Collaborative Research Grants

Independent Scientific and Community Peer Review

Community Providers Supported

40 Community Based Organizations
9 Health Care Providers
9 Local Health Jurisdictions



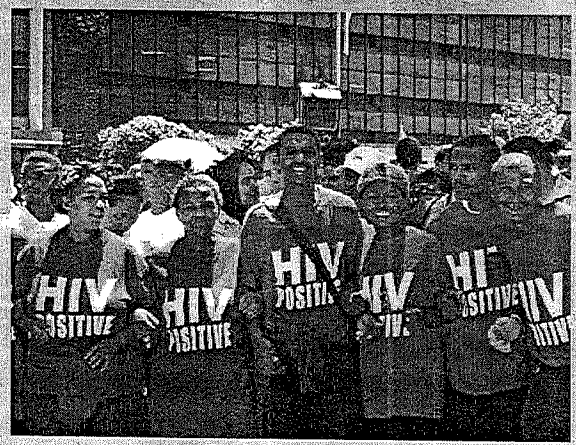
Populations Targeted*

27 MSM
2 Transgender
12 Drug users or their partners
10 Heterosexual adults
5 High risk youth
12 African American
12 Latino

*may target multiple groups

1995-2008

California HIV/AIDS Research Program



Collaborations to Foster Leadership and Leverage Impact

- **AIDS Partnership California (APC)**
  - Collaboration with private foundations and corporations

Partners include:

- Evelyn and Walter Haas Jr. Fund
- The California Endowment
- The California Health Care Foundation
- Gilead Sciences
- Kaiser Permanente
- Levi-Strauss Foundation
- Northern California Grantmakers
- Sutter Health
- Wells Fargo Corporate Contributions

CHRP California HIV/AIDS Research Program