

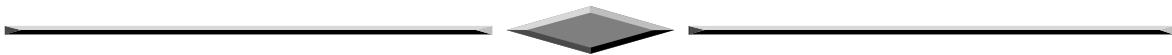


***Program Compliance Office
California Student Opportunity & Access Program
Review Report***

2005-06 Award Year

**Sacramento Cal-SOAP Consortium
Program Review ID#60700000002**

**P.O Box 269003
Sacramento, CA 95826-9003**



Program Review Date:	October 22, 2007 through October 26, 2007
Auditor:	Melanie Wong (916) 526-8207
Report Approved by:	Charles Wood, Manager Program Compliance Office (916) 526-8912

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AUDITOR'S REPORT

SUMMARY We reviewed Sacramento Cal-SOAP Consortium's administration of California Student Aid Commission (Commission) California Student Opportunity & Access Program (Cal-SOAP) for the 2005-06 award year.

The consortium's records disclosed the following:

- Documentation of Peer Advisor and Tutor Eligibility Needs Strengthening
- Written Cal-SOAP Procedures Need Strengthening

BACKGROUND Through consortium compliance reviews, the administration of the Cal-SOAP program is evaluated to ensure program integrity with applicable laws, policies, contracts and consortium agreements.

The following information, obtained from the consortium and Commission database, is provided as background on the consortium:

A. Consortium

- Type of Organization: Private, Non-profit
- Project Director: Monica Roberts
- Board Chairperson: Manuel Ruedas
- Fiscal Agent: Ivan Myrick

Consortium Membership	
Schools and Districts	Grant Joint Union High School District Sacramento County Office of Education
California Community Colleges	American River College Cosumnes River College Sacramento City College
California Public Universities	California State University, Sacramento University of California, Davis
Independent College	University of the Pacific
Community Agencies	Capital Center MESA Capital Region AVID Center Sacramento Region Community Foundation Summerbridge Sacramento

B. Consortium Persons Contacted

- Monica Roberts: Project Director
- Joyce Wright: Board Vice Chairperson
- Ivan Myrick: Fiscal Agent

AUDITOR'S REPORT (continued)

C. Project Information

- Date of Prior Commission Program Review: June 2003
- Size of Student population in the service area: 239,026
- Number of Students Served
 - General: 6,218
 - Intensive: 5,182

Cal-SOAP Program Activities
Classroom Advising Curriculum
Tutoring in AVID Classrooms
College and Financial Aid Advising
I'm Going to College
Breakthrough Sacramento Summer Program
Financial Aid Workshops
Weekly Breakthroughs
Summerbridge Saturdays

**OBJECTIVES,
SCOPE AND
METHODOLOGY**

The purpose of our review is to provide the Commission with assurance that the consortium adequately administered the Cal-SOAP program and that they are in compliance with applicable laws, policies, contracts and consortium agreements.

The review focused on, but was not limited to, the following areas:

- A. General Program Requirements
- B. Fiscal Accountability

The specific objectives of the review were to determine that:

- Administration systems have adequate controls to ensure that Cal-SOAP funds received by the consortium are secure.
- Administration systems have adequate controls to ensure that Cal-SOAP payments are accurate, legal and proper.
- Accounting requirements are being followed.

The procedures performed in conducting this review included:

- Evaluation of the current administrative procedures through interviews and reviews of records, forms and procedures.
- Evaluation of the current payment procedures through interviews and reviews of records, forms and procedures.
- Review of the records and payment transactions from a sample of 5 Cal-SOAP student tutors within the review period. The program review sample was judgmentally selected from the total population of 53 tutors.
- Review of the records and payment transactions from a sample of Cal-SOAP expenditures within the review period.

AUDITOR'S REPORT (continued)

**OBJECTIVES,
SCOPE AND
METHODOLOGY
(continued)**

The review scope was limited to planning and performing procedures to obtain reasonable assurance that Cal-SOAP funds were administered according to the applicable laws, policies, contracts and consortium agreements. Accordingly, transactions were examined on a test basis to determine whether Cal-SOAP funds were expended in an eligible manner. The auditor considered the consortium's management controls only to the extent necessary to plan the review.

This report is written using the exception-reporting format, which excludes the positive aspects of the consortium's administration of the Cal-SOAP program.

CONCLUSION

In conclusion, except for the issues described in the Findings and Required Actions section of this report, the consortium administrated the Commission Cal-SOAP program in accordance with the applicable laws, policies, contracts and consortium agreements as they pertain to the Commissions Cal-SOAP program.

**VIEWS OF
RESPONSIBLE
OFFICIALS**

The review was discussed with agency representatives in an exit conference held on October 31, 2007.

October 31, 2007

Charles Wood, Manager
Program Compliance Office

FINDINGS AND REQUIRED ACTIONS

A. General Program Eligibility:

FINDING 1: Documentation of Peer Advisor and Tutor Eligibility Needs Strengthening

A review of five Peer Advisor and Tutor eligibility documents revealed the Consortium needs to obtain additional documentation.

DISCUSSION:

Per the Cal-SOAP Policies and Requirements Manual, consortia shall hire eligible peer advisors and tutors that meet the following criteria:

- Work with secondary school students
- Are currently enrolled in a college or other postsecondary school as an undergraduate or graduate student
- Have demonstrated financial need for the stipend

For Cal-SOAP purposes, currently enrolled is defined as having completed the matriculation requirements of a postsecondary college or school and carrying a workload of at least half-time as determined by the institution at which the student is enrolled.

A tutor or peer advisor must also demonstrate need in order to be eligible to receive stipends from the Cal-SOAP. A student demonstrates financial need if the student receives or is eligible to receive benefits from any need-based financial aid program (i.e. work study, loans, grants, scholarships).

Sacramento Cal-SOAP has each potential tutor or peer advisor submit academic transcripts and class schedules prior to the Fall term. In some cases, the students work the entire academic year, but there was no documentation that the students were enrolled past the Fall term (i.e. Winter, Spring or Summer terms).

To determine the financial need of tutor or peer advisors, the Consortium requires each tutor or peer advisor to complete and sign a Tutor Financial Need Certification that includes the student's name, social security number, indication that the student is either receiving financial aid or that some or all of the stipend is used to support the student's education. This form is self certified by the student and no further documentation is obtained from the financial aid offices of the institution's the potential tutors are attending.

REFERENCE:

Cal-SOAP Policies and Requirements Manual, August 2004, page 10

FINDINGS AND REQUIRED ACTIONS (continued)

REQUIRED ACTION:

Sacramento Consortium **must** submit policies and procedures to incorporate obtaining sufficient documentation to demonstrate financial need (financial aid award letter, institutional student information records, etc.) and that students are currently enrolled in a college or postsecondary school (class schedules after term has begun for each term the student is employed, transcripts showing all terms employed, etc.).

INSTITUTION RESPONSE:

Beginning with the 2008-2009 school year, student employees will be required to submit copies of their Student Aid Reports, financial aid award letters, or other comparable forms of documentation.

Current procedures are that student employees must submit evidence of enrollment for each term they are working. Before student employees are hired, they are required to submit evidence of enrollment, and with each subsequent term, they are required to submit evidence of continuing enrollment. Documentation of enrollment is kept in both Cal-SOAP employee files as well as Sacramento County Office of Education employee files.

AUDITOR REPLY:

The Consortium's action is deemed acceptable.

A. General Program Eligibility:

FINDING 2: Written CAL-SOAP Procedures Need Strengthening

A review of the Consortium's policies and procedures revealed a need for detailed desk manuals for each Cal-SOAP position.

DISCUSSION:

The Consortium is required to develop policies that outline what services will be provided and define each service level per the Cal-SOAP Policies and Requirements manual. These policies should define the roles and duties of each Cal-SOAP (i.e. Project Director, Project Specialist, Program Analyst, etc.)

Currently, the Consortium has general policies and procedures that explains the program activities provided and steps to completing each activity. However, they do not specify who will be responsible for which activity/step.

REFERENCE:

Cal-SOAP Policies and Requirements Manual, August 2004, page 11

FINDINGS AND REQUIRED ACTIONS (continued)

REQUIRED ACTION:

The Commission's Program Compliance Office Manager met with the Sacramento Cal-SOAP Consortium Director to discuss specific details to be included in the updated policies and procedures. The Consortium **is required** to submit these updates for approval.

INSTITUTION RESPONSE:

The Consortium's existing Operations Manual has detailed tables for each task required for Consortium operation, tables that include timeframe, steps to completion and responsible staff member. Based on a subsequent discussion with CSAC staff, an additional chart has been developed to include in the Consortium's Operations Manual, and to address the specific responsibilities of the Project Director, the timeframe for fulfilling those responsibilities, and cross-references, as appropriate, to task charts in the Operations Manual. There are separate manuals for the staff members responsible for the academic and advising programs.

AUDITOR REPLY:

The Consortium's action is deemed acceptable.