

Information/Action Item

CAL-SOAP Advisory Committee

Compliance Report

As of June 1, 2005, Commission staff has completed fifteen Cal-SOAP compliance reviews and South County (Gilroy) is in the write up/draft phase. All reviews from the first cycle have been completed. South County (Gilroy) will be completed in the next couple of months.

Enclosed is a summary report on the findings noted in the compliance reviews.

Responsible Staff: Charles Wood, Manager
Program Compliance

Cal-SOAP Compliance Review Summary Report

Early in the 2000-01 award year, the California Student Aid Commission (CSAC) determined that the California Student Opportunity and Access Program (Cal-SOAP) warranted greater fiscal and programmatic accountability due to the increase in the number of consortia and the increase of program funds. A five-member Cal-SOAP Compliance Review committee was created to establish program compliance review guidelines and standards.

Using the committee's review guidelines and standards, Cal-SOAP reviews began in January 2002. The initial Cal-SOAP review schedule facilitates a program review to be performed once every other month. As of June 1 2005, 15 reviews have been performed and completed and one review, South County Gilroy, was preformed and is in the report write-up/draft stage.

From the fifteen compliance reviews that have been performed to date, the actual findings have been categorized into the following three major areas of non-compliance. Under each category a listing of the type of finding found through the review has been developed with the number of consortiums sited in the parenthesis that follows.

PROJECT GOVERNANCE

- The consortium board was not acting as a governing board. (7)
- Consortium board meeting minutes do not reflect formal governing decisions. (5)
- Written Cal-SOAP procedures were not developed. (9)
- There was no written agreement between the Consortium and the Fiscal Agent defining their duties. (8)
- By-Laws need strengthening. (5)

PROJECT (CAL-SOAP) FUND ACCOUNTABILITY

- Travel reimbursements exceed the amounts approved in the contract. (9)
- Actual in-kind match amounts were not properly documented. (12)
- Equipment was not properly identified as property of the State of California. (8)
- Reimbursement requests exceeded actual expenditures. (4)
- Non-educational site visits. (3)

REPORTING REQUIREMENTS

- Reimbursement requests were not submitted to the Commission as per the requirements of the agreement. (5)
- In-Kind Contribution Not Reported to the Commission. (3)

For each of the completed reviews, the consortiums responses have satisfactorily corrected all of the program review findings.

Starting in April, the Program Compliance Manager and the Outreach Unit Manager are conducting a follow-up site visit on all consortia. This site visit will address the following:

- Review of the corrective actions taken in response to the findings noted in the review and verification that the findings have been corrected.
- Discussion of the program services for inclusion in the expanded reviews to be conducted next year.
- Areas of concern noted in the review of the Annual Program Plan

The information gathered in the site visits will be used to update the audit program and develop the review schedule for the next review cycle.

Cal-SOAP Compliance Review Summary Report

Name	Preliminary Contact	Field Complete	Draft Issued	Final Issued
Central Coast Consortium				4/06/05
Central Valley Consortium				9/24/04
East Bay Consortium				4/23/03
Los Angeles Educational Consortium				4/23/03
Merced County Consortium				2/24/03
Northcoast Consortium				12/22/04
North Valley Consortium				4/07/04
Sacramento Consortium				7/22/04
San Diego & Imperial Counties Consortium				5/04/05
San Francisco Consortium				11/24/04
San Jose Consortium				3/17/04
Santa Barbara Consortium				10/18/02
SUCCESS (Solano Univ. and Community College Educational Support Services Consortium)				10/01/03
South Coast Consortium				7/07/04
South County Gilroy Consortium		3/17/05		
So. San Joaquin Valley Consortium				11/24/04

Shaded Projects where review is in process
 ** Draft Report In Review
 *** Final Report In Review