

# CALIFORNIA STUDENT AID COMMISSION

PROGRAM ADMINISTRATION AND SERVICES DIVISION

December 18, 2017



Dr. Frank Chong  
President  
Santa Rosa Junior College  
1501 Mendocino Avenue  
Santa Rosa, CA 95401-4395

RE: Program Compliance Review ID#81700128700

Dear Dr. Chong:

The following is the final report of our program compliance review of your institution's participation in the California Student Aid Commission's (Commission) grant programs.

Thank you for the courtesy and cooperation extended to the Commission staff during the review. Your continued effort and consideration toward the Commission's programs will help produce an efficient and beneficial student financial assistance program.

If I, or any member of my staff, can be of further assistance to you, please feel free to call us.

Sincerely,



Catalina Mistler, Deputy Director  
Program Administration and Services Division

Enclosure

- c. Jana Cox, Director, Student Financial Services  
Program Review File



***Program Compliance Office  
Cal Grant Program Review Report***

***2015-16 Award Year***

**Santa Rosa Junior College  
Program Review ID#81700128700**

**1501 Mendocino Avenue  
Santa Rosa, CA 95401**

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**Program Review Dates:**

4/3/2017 - 4/7/2017

**Auditor:**

Paramjeet Singh

**Report Approved by:**

Catalina Mistler, Deputy Director  
Program Administration and Services Division

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## AUDITOR'S REPORT

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**SUMMARY** We reviewed Santa Rosa Junior College's administration of California Student Aid Commission (Commission) programs for the 2015-16 award year.

**The Institution's records disclosed no significant deficiencies.**

**BACKGROUND** The Commission performs institution compliance reviews to ensure program integrity and institution compliance with applicable laws, policies, contracts and institutional participation agreements as they pertain to the following grant programs administered by the Commission:

Cal Grants B and C

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

A. Institution

- Type of Organization: Public
- President: Dr. Frank Chong
- Accrediting Body: Western Association of Schools & Colleges

B. Institutional Persons Contacted

- Jana Cox: Director of Student Financial Services
- Katherine Jolley: Senior Director, Fiscal Services

C. Financial Aid

- Date of Prior Commission Program Review: March 2005
- Branches: Petaluma campus
- Financial Aid Programs: Federal: Direct Loan Program, Pell, Work-Study and SEOG  
State: Cal Grants B and C,
- Financial Aid Consultant: None

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## AUDITOR'S REPORT (continued)

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### OBJECTIVES, SCOPE AND METHODOLOGY

The purpose of our review is to provide the Commission with assurance that the Institution adequately administered Commission programs and complied with applicable laws, policies, contracts and institutional participation agreements as they pertain to the grant programs administered by the Commission.

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

- A. General Eligibility
- B. Applicant Eligibility
- C. Fund Disbursement and Refunds
- D. File Maintenance and Records Retention
- E. Fiscal Responsibility for Program Funds

The specific objectives of the review were to determine that:

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

The procedures performed in conducting this review included:

- Evaluating the current administrative procedures through interviews and reviews of student records, forms and procedures.
- Evaluating the current payment procedures through interviews and reviews of student records, forms and procedures.
- Reviewing the records and grant payment transactions from a sample of 40 students who received a total of 38 Cal Grant B awards and 2 Cal Grant C award within the review period. The program review sample was randomly selected from the total population of 854 recipients.
- Reviewing the records of 45 unpaid Cal Grant recipients who appeared on the Institution's roster but were not paid for the award year. The program review sample was selected to include all unpaid students.

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

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## AUDITOR'S REPORT (continued)

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OBJECTIVES,  
SCOPE AND  
METHODOLOGY  
(continued)

This report is written using the exception-reporting format, which excludes the positive aspects of the Institution's administration of the Commission grant programs.

The names and social security numbers of the sample of students reviewed have been excluded from the body of this report and have been replaced by identifying numbers.

CONCLUSION

In conclusion, this report disclosed no areas of concern as a result of the review, however, the absence of comments regarding institutional practices, policies and procedures should not be construed as acceptance or approval of those procedures or practices. In addition, the absence of such comments does not limit or lessen the institution's obligation to comply with all statutory provisions, policies and agreements governing the grant programs administered by the Commission.

VIEWS OF  
RESPONSIBLE  
OFFICIALS

The audit was discussed with institution representatives in an exit conference on April 7, 2017. The institution staff concurred with the results.

We appreciate the cooperation and assistance of the management and staff during the course of this review.

Catalina Mistler, Deputy Director  
Program Administration and Services Division