

2016-126 AUDIT SCOPE AND OBJECTIVES

California Department of Social Services—Facilities Licensing

The audit by the California State Auditor (state auditor) will provide independently developed and verified information related to California Department of Social Services (Social Services) processes for performing background checks on individuals associated with its licensed facilities, and will include, but not be limited to, the following:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Assess whether the California Department of Justice is sending all of the necessary and appropriate information to Social Services as part of the Community Care Licensing Division's (licensing division) background check process.
3. For the most recent three fiscal years, evaluate the timeliness of the background check process, including the licensing division's Caregiver Background Check Bureau's criminal history reviews and decisions. If this process is not timely or backlogs exist, determine the cause for this condition, including whether staffing levels are a contributing factor.
4. Determine whether Social Services has provided clear policies and procedures and adequate training for those involved in the background check process, including the granting of exemptions.
5. Evaluate whether Social Services has developed and implemented a policy, and associated training, for receiving and appropriately responding to notices of criminal history received after the initial background check.
6. Determine whether Social Services has established, and is adhering to, reasonable time frames for conducting initial and, if necessary, follow-up investigations and removing from its licensed facilities individuals found to have prohibited criminal history
7. Determine the status of Social Services' efforts to detect and resolve instances where the addresses of registered sex offenders match the addresses of some of its licensed facilities.
8. Evaluate Social Services' responses to individuals who do not provide required records.
9. Examine how the background check process is funded and whether Social Services requires applicants, licensees, and individuals to pay all appropriate fees prior to granting license clearances.
10. Determine the status of applicable recommendations from previous state auditor reports.
11. Since its effective date of January 2015, determine whether Social Services has implemented and is adhering to AB 2632 prohibiting granting an exemption for certain arrests prior to an investigation or clearance occurring.
12. Review and assess any other issues that are significant to the audit.