

2017-129 AUDIT SCOPE AND OBJECTIVES

Department of Rehabilitation—Grant Application Process

The audit by the California State Auditor will provide independently developed and verified information related to the California Department of Rehabilitation's (DOR) application process for the Grant Solicitation Program. The audit's scope will include, but not be limited to, the following activities:

1. Review and evaluate the laws, rules, and regulations significant to the audit objectives.
2. Review DOR's policies and procedures for its grant application and review processes and determine whether they comply with relevant laws, rules, and regulations.
3. For a selection of grants awarded during the last three fiscal years, including RFA IL-17-01, assess the following:
 - a. Whether DOR followed applicable policies and procedures during the grant application and review processes and ensured that evaluators reviewing the applications did not have any conflicts of interest.
 - b. DOR's grant application and relevant documents to determine whether there were any inconsistencies in the review process.
4. To the extent possible, assess DOR's review of the applications for the System Change Network Hub program (RFA IL-17-01), including the following:
 - a. How DOR selected its panel of evaluators and whether this process was effective and appropriate.
 - b. The evaluators' consistency of assessments and comments regarding each applicant.
 - c. Whether any of the evaluators had a conflict of interest.
 - d. Its methodology of scoring applicants in each round.
5. Determine whether a more effective process exists for awarding grants, including using staff from another agency to select the panel of evaluators.
6. Review and assess any other issues that are significant to the audit.