

2011-119 AUDIT SCOPE AND OBJECTIVES—Physical Therapy Board of California

The audit by the Bureau of State Audits will provide independently developed and verified information related to the Physical Therapy Board of California (board) 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. Review and assess the board's compliance with the applicable open meeting laws.
3. Determine the extent to which the board monitors its compliance with, and adherence to, policies and procedures to prevent, identify, and address conflict-of-interest violations. This analysis should include:
 - (a) Review the board's policies and procedures related to conflict of interest and assess the extent to which it complies with current conflict-of-interest laws.
 - (b) Reviewing and assessing, to the extent possible, the nature and extent of executive officer and board member interactions with professional organizations representing physical therapy professionals and how those interactions compare with other professional licensing boards.
4. For the most recent three-year period, determine whether the board's expenditures, including travel expenses, are reasonable and consistent with state law.
5. Review and evaluate the board's enforcement policies and procedures with respect to opening, investigating, and closing complaints to determine whether they are consistent with applicable laws, rules, and regulations, as well as best practices. Using a sample of complaints from the most recent three-year period, determine if the board has consistently applied its policies related to prioritizing, investigating, and closing complaints. At a minimum, this assessment should include:
 - (a) How the board prioritized complaints.
 - (b) How it assigned complaints to investigators or experts.
 - (c) The criteria it used selecting experts for case reviews.
 - (d) The consistency and reasonableness of the course of action taken when it substantiated a complaint.
 - (e) A review of complaints closed without an enforcement action taken to determine whether the complaints were closed in a manner consistent with state laws, regulations, and established policies and practices.
6. Review and assess any other issues that are significant to the board's ability to fulfill its statutory mandate.