Council for Opportunity in Education
Preparing for the Site Visit or Audit

Site Visit Checklist:

The following is a checklist of items that should be prepared in advance of a Site Visit. It is a good idea to have these materials available and well organized before the Site Visitor arrives on campus. An institution may want to establish a special Site Visit file for every fiscal year that includes everything in the Checklist at the close of every fiscal year.

1. An unduplicated, reconciled separate list for each award year of project participants by name and social security number as well as;
   a. Eligibility criteria for their selection
   b. Year in school
   c. Year in program
   d. Race
   e. Gender

2. The last three performance reports submitted to the Department.

3. Documentation the project relied on to demonstrate accomplishments of objectives in each of these years.

4. For the current grant period, copies of all audits.

5. A copy of the most recently approved project budget for the current and previous year.

6. Your institution's organizational chart; including the TRIO director(s) and the reporting chain for the project.

7. For the current grant, any progress reports sent to the president or project director's supervisor.

8. A list of all individuals employed since the inception of the current grant cycle and the percentage of time they were employed. Current employees should be noted as such.

9. A job description for all positions in the project since the inception of the last grant cycle.

10. Copies of informational or PR materials produced for or used by the project.

11. Samples of all forms used by the project to document activities, eligibility and participation.

12. The *institution's* policies and procedures manual for grant management, including personnel, purchases, expenditures and internal controls.

13. A copy of your institution's procedures for fund expenditure including:
    a. Personnel with grant funds
    b. Travel

c. Equipment
d. Supplies
e. Consultants
f. Stipends

14. The *project's* written policies and procedures (for example, how it defines need for academic support in SSS or UB; how admissions decisions are made).

15. A list of all consultants, contractors or temporary employees utilized since the inception of the current grant as well as services they provided, dates employed and documentation of such service.

16. Copies of any contracts for individuals or organizations providing products or services to the grant.

17. A map of the campus and any off-campus sites used by the project.

18. An inventory of every item of equipment purchased with grant funds since the inception of the current grant including:
    a. Description of equipment
    b. Intended purpose
    c. Requisition
    d. Purchase order
    e. Invoice, including acquisition cost
    f. Receiving report, including acquisition date
    g. Manufacturer's serial number, federal stock number or other identification number
    h. Inventory control number
    i. Location and condition of equipment
    j. Record of the use of equipment by program participants
    k. Current value as depreciated

The Business Officer should be prepared to make available:

1. A chart of accounts containing a complete listing of all ledgers, account titles and numbers in the TRIO general ledger control account, including the titles and numbers of any subsidiary ledgers that show the details from the balance of the ledger control account;

2. A chronological list of all cash requests made to the Department and copies of the documents supporting those requests. (Original cancelled checks, bank statements, deposits slips, checkbook or check rosters),

3. A chronological printout of all grant expenditures (i.e. general journal containing chronological entry of all grant transactions),

4. A list of all specific journals maintained for the TRIO program(s),

5. Certification of time and effort (time sheets) for all grant-funded personnel.