

**Site Visits & Audits**

SoCal Professional Development Seminar  
Pechanga Resort & Casino  
Temecula, CA

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**Site Visits and Audits**

- What is the difference between a Site Visit and an Audit?
- How do institutions get selected for a Site Visit or Audit?
- How will institutions be notified when they will have a Site Visit/Audit?

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**Preparing for a Site Visit or Audit**

- Be prepared in advance
- Have materials available and well organized
- Review Site Visit Checklist (COE)
- Discuss visit with all staff

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### Checklist

- A listing of all participants
- The last three Annual Performance Reports
- Documentation that demonstrated accomplishments of objectives
- Copies of all audits (current year)

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### Checklist Continued...

- Copy of most recently approved budget
- Institution's organizational chart (one that includes the TRiO director)
- Progress reports sent to the president or project director's supervisor

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### Checklist Continued...

- Listing of all staff members to include the percentage of time they are employed
- Job descriptions for all positions
- Copies of informational or promotional materials used by the program
- Samples of forms used by the program to document services, eligibility and participation

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### Checklist Continued...

- The institution's policies and procedures manual for grant management
- Copy of institution's procedures for fund expenditures to include:
  - Personnel with grant funds
  - Travel
  - Equipment
  - Supplies
  - Consultants
  - Stipends
- The program's written policies and procedures

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### Checklist Continued..

- Listing of all consultants, contractors or temporary employees as well as the services they provided, dates employed and documentation of service
- Copies of contracts for individuals or organization providing products or services to the grant
- A map of the campus and any off-campus sites used by the program

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### Checklist Continued...

- Inventory of program equipment purchased since the inception of the current grant to include:
  - Description of equipment
  - Intended purpose
  - Requisition
  - Purchase Order
  - Invoice, including acquisition cost
  - Receiving report, including acquisition date

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**Checklist Continued...**

- Equipment inventory
  - Manufacturer's serial number, federal stock number or other identification number
  - Inventory control number
  - Location and condition of equipment
  - Record of the use of equipment by program participants
  - Current value as depreciated

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**Business Officer should be ready to provide:**

- 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;

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**Business Officer should be ready to provide:**

- A chronological list of all cash requests made to the Department and copies of the documents supporting those requests
- A chronological printout of all grant expenditures
- A list of all specific journals maintained for the TRiO program(s); and
- Certification of time and effort (time sheets) for all grant-funded personnel

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**Other important notes...**

- Student Files
  - Student Application
  - Eligibility Documentation
  - Needs Assessment
  - Transcripts/ Progress Reports
  - College/Financial Aid Applications
  - Copy of Student Aid Report
  - College Acceptance letters
  - Documentation of services provided
- Staff interviews
  - Make sure staff are aware of program objectives, eligibility criteria, purpose of program
- Meeting with institutional administrative staff
- Evaluations
  - Program/ Staff/ School Personnel

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**Other important notes...**

- Brochures
  - Funding information
  - Purpose of program
- Equipment
  - Labeled with program name
- Filing cabinets
  - Locked and in a safe area (those holding student information)
- Electronic Database
  - Password protected
  - Updated

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**Things to remember...**

- The Department will work with you in making any necessary changes
- Colleagues can help
  - Tomasa Mauricio, SDSU
  - Phone: (619) 594-1899
  - E-mail: tmauricio@projects.sdsu.edu
- Be prepared and you will be ok!

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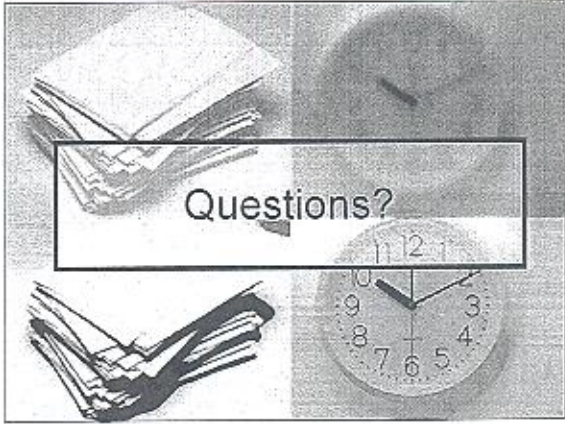
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