

Compliance Audit Checklist (from Thompson Grants)

Prepare for the Grant Audit Site Visit

- Develop Agenda
- Prepare Site Visit Letter
- Assess Risk
- Select Programs
- Develop Schedule for Interviews
- Arrange Access to Files
- Arrange Access to Staff
- Arrange Office Space for Meetings and Interviews

Program Management

- Program Name
- Objectives
- Targets
- Activities
- Outcomes to Date

Financial Management

- Written Procedures
- GL Transactions
- Receipts
- Purchases Orders
- Absence of Comingling
- Cost Sharing/Matching
- Prior Approvals Obtained before Amendments

Personnel Management

- Time and Effort Reporting

Subcontract Management

- Procurement Procedures
- Written Policies
- Open Competition
- Proposal or Bid Process
- Award Process
- Monitoring Process

Property or Equipment Management (If Applicable)

- Inventory Records
- Maintenance

Advise and document any discrepancies and recommendations for corrective action

Desk Audit – Financial Audit

Audit that invoice is in accordance to terms of agreement and price proposal

- Rates are in accordance to price proposal or amendments
- Titles are in accordance to price proposal or amendments
- Hours are in accordance to price proposal or amendments

- Where pricing proposal is based on completion of tasks, audit invoices were in compliance with payment for tasks complete
- Subcontractors used in accordance to price proposals or amendments
- Changes to contract or price proposals, proper concurrence was secured from CMAP
- Advise of any discrepancies