

Appendix B. Notice of Visit Letter

(DATE)

(NAME OF PRESIDENT OR CHIEF EXECUTIVE OFFICER)

(NAME OF INSTITUTION)

(ADDRESS OF INSTITUTION)

OPE ID:XXXXXXXX

(CITY, STATE & ZIP CODE)

EIN: X-XX-XXX-XXXX-XX

Dear (NAME OF PRESIDENT OR CEO):

34 CFR Section 668.23(e) of the General Provisions Regulations states: "Upon written request, an institution shall give the Secretary access to all Title IV, HEA program and fiscal records, including records reflecting transactions with any financial institutions with which it deposits or has deposited any Title IV, HEA program funds." The institution must also provide access to its administrative staff and students.

This letter constitutes our written request to the officials of (Name of Institution) for access, beginning today, to your HEA records, staff and students, so that (Program Officers' names) can conduct a program review of your institution's administration of the Title IV Student Financial Assistance programs.

Failure to provide this access to the program officers will result in the Department taking administrative action against the institution. This action may include, but is not limited to: limitation, suspension or termination of the institution's participation, pursuant to 34 CFR Part 668, Subpart G.

This program review will encompass your administration of the Title IV programs included in your Program Participation Agreement, and will evaluate the following:

1. General institutional eligibility;
2. Program administration;
3. Student eligibility;
4. Student financial aid files;
5. Academic records;
6. Registration and attendance records; and
7. Fiscal administration records.

Please inform members of your staff who are responsible for the Title IV programs that we will need to interview them or their designees during the program review. We will also conduct a brief entrance interview. In addition, we will need work space and access to a copier during this period.

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A list of the documents that you must provide to the reviewers is enclosed (Attachment A) to this letter. The list is in order of priority, with items needed immediately marked with asterisks. All other documents must be provided as soon as possible.

Your cooperation throughout the program review process will be appreciated.

Sincerely,

(Branch Chief's Name)
Chief, Institutional Review Branch

Enclosure

cc: Financial Aid Director

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ATTACHMENT A - Page 1

School: _____ **Review Date:** _____

You are required to provide the following documents:

- * 1. School catalog(s), together with the refund policies, and satisfactory academic progress policy;
- * 2. A list of Title IV recipients for the 19XX-XX and 19XX-XX award years. Please provide this information in an unduplicated and reconciled format, organized by: name, social security number, award year, and dollar amount of Title IV student financial aid by program received by each recipient, enrollment status and refunds paid or due to be paid. This information should be provided on a Lotus 123 worksheet or DOS text file; if the institution cannot provide this information by electronic means, a hard copy list must be provided;
- * 3. A copy of the institution's most current audited financial statements;
- * 4. Eligibility letter and Program Participation Agreement;
- * 5. Copy of accreditation documentation;
- * 6. Copies of course approval notices issued by the State Education Department for each course offered by the school;
- 7. Sample of student financial aid forms used;
- 8. Sample award letter;
- 9. Pell and/or Campus-based and FFEL student budgets;
- 10. Ability to benefit test, answer key, passing score, and the dates the test was in use;
- 11. ED/PMS 272 Reports;
- 12. Student Payment Summary;
- 13. Fiscal Operations Report and Application to Participate (FISAP), with supporting documentation;
- 14. Current withdrawal rate;
- 15. Non-Federal SFA audit (most recent);
- 16. Written verification policies and procedures;
- 17. A list of all current owners and owner percentages;
- 18. Number of current students enrolled; and,
- 19. Percentage of current students enrolled receiving federal assistance.

Depending upon the programs in which your institution participates, the following records or documents must be made available for examination by the program officer(s). Any other records necessary to complete the review will also be requested.

- 20. Complete set of books for financial aid, including a chart of accounts for each program, general ledgers and subsidiary ledgers, including student subsidiary accounts;

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ATTACHMENT A - Page 2

21. Original canceled checks, bank statements, deposit slips, checkbook or check roster and cash request to ED Payments (EDPMTS);
22. Federal Pell Grant Program Institutional Payment Summary(ies) (IPS), Statements of Accounts (SOA);
23. Policies and procedures manual pertaining to administration of Title IV programs;
24. Financial aid recipients' academic and financial aid records which include the following --
 - N Student contracts, enrollment agreements or registration forms;
 - N Evidence of admissions criteria such as high school diploma, GED or ability to benefit;
 - N Institutionally developed admissions and financial aid forms;
 - N Class schedules and attendance records;
 - N Student financial aid transcript(s);
 - N Satisfactory academic progress determination documentation;
 - N Student's drop date or withdrawal date documentation;
 - N Refund calculation worksheet(s);
 - N Student need analysis documentation;
 - N Pell Grant Student Aid Report (SAR);
 - N Stafford Loan, SLS and/or PLUS application(s);
 - N Student loan programs entrance and exit counseling documentation;
 - N Federal Perkins Loan promissory notes; and
 - N Student account ledger(s).