FILING SYSTEMS AND NAMING CONVENTIONS FOR CONTRACTS & GRANTS
Updated June 1, 2017

OVERVIEW
All contract & grant files should now be saved electronically on a divisional network shared drive. Storing files on a shared drive is important for several reasons:
1. The files are accessible to someone other than just yourself, such as your MSO, other divisional fund managers, and departmental ORA staff.
2. Files stored on a network shared drive are backed up weekly by the DOM IS office, so if a file is accidentally deleted, it can be restored by contacting DOM IS.

GOAL: To be able to quickly find the answer, and the backup documentation, to any question that may arise regarding the contract and grant, whether the question was asked by the PI, MSO, EFM, OCGA, sponsor, etc.

WHAT SHOULD I SAVE?
Here is a list of the types of items that should be saved to the shared drive
(please note this is not intended to be a complete list, but rather a guide):
1. **Pre-award Files:**
   a. Finalized PDF copy of the entire submitted grant proposal
   b. Final detailed budgets
   c. Source documents for BioSketches, Research Plans, Other Project Information, etc.
   d. Internal documents – source documents & signed versions
2. **UCLA Award Snapshots:** Including Sponsor Notice of Award, downloaded from the UCLA ORA Portal.
3. **Transactional Files:**
   a. Transfers of Funds (TOFs)
   b. Expense Transfers - UPAYs/PETs and NPEARs
   c. Recharges, etc.
4. **Important Emails:** From the PI, sponsor, UCLA central offices, etc.
5. **Approval Notices:** Human Subject and Animal Subject
6. **Sponsor Required Reports:**
   a. Progress Reports/RPPRs
   b. Financial Reports/FFRs
   c. Invention Statements.
7. **Miscellaneous Post-Award Files, if applicable:**
   a. Just-In-Time (JIT) submitted documents
   b. Request for Authorization to Spend (RAS)
   c. Supplement request documents
   d. Subaward set up documents & invoices
   e. Clinical trial invoices

HOW LONG SHOULD THE FILES BE KEPT?
Contract & Grant files need to be kept according to the sponsor's guidelines. The NIH, for example, requires all contract & grant documentation to be stored for at least 3 years from the filing date of the Final Financial Report (FFR). Remember, at the department level, we only need to keep the files for which we are the office of record. Items like vendor invoices, ledgers, effort reports, etc. are the responsibility of the University, and in case of an audit, the University would provide the official copy on record. In the department, we are the office of record for items such as, but not limited to, the following:

1. Order Forms
2. Order Packing Slips
3. Financial Statements
4. Personnel Timesheets
5. Emails/notes from the PI requesting things such as funding distribution changes for lab staff, approval of orders, etc.

Resource: UCLA's [Record Retention Website](), but for contract & grant files, be sure to also check sponsor guidelines!

NAMING CONVENTIONS
Naming conventions are extremely important as it allows you to find the folder or file you are looking for quickly. Imagine if you had 3 different Transfers of Funds (TOF) saved as:

1. TOF_33333_06012015_Allocation-Year01.pdf
2. 33333_TOF_Allocation-Year2_06092016.pdf
3. 33333_Transfer_06042017.pdf

If these 3 TOFs were in a folder with dozens of other files, if would be difficult to quickly identify them.

On the other hand, if you utilized a naming convention where the TOFs were all named:
TOF_Fund#_Description_Date.pdf
Once the files are sorted alphabetically, the 3 TOFs would appear next to each other in order.

WHAT SHOULD THE SHARED DRIVE LOOK LIKE?
Here is an Example of a Divisional Shared Drive, and PI folder:
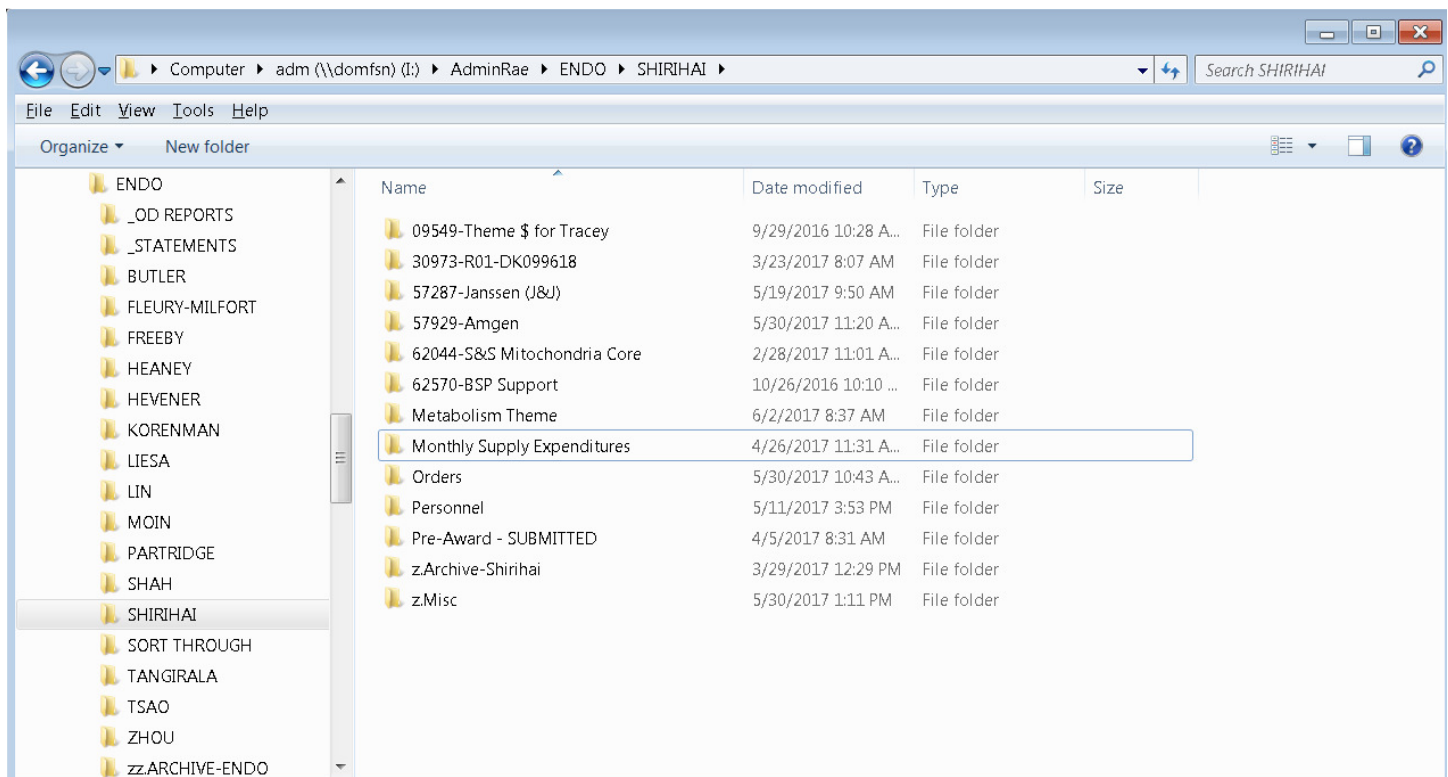
On the left side of the screenshot, notice there is a folder for each PI within the Endo shared folder. There are also folders for the Monthly OD Reports, and Statements.

Within each PI folder, there should be a sub-folder for each active fund (contract, grants, gift, endowments, etc.) that are part of the PI's research portfolio. There is also a folder for the PI's Pre-Award activity, and other folders as needed.

Best Practice: Create an Archive folder for each PI. As funds close, move the fund folder to the Archive folder, so that only the PI's active funds are displayed in the main PI folder. Also, if you are running out of storage space in your shared drive, the Archive folder is a good place to look for files/folders that can be deleted. Keep in mind that any files stored on a shared drive, and later deleted, can be retrieved by the DOM IS office at a later date.

Let's take a look at what types of files and sub-folders are typically contained within a Fund folder:
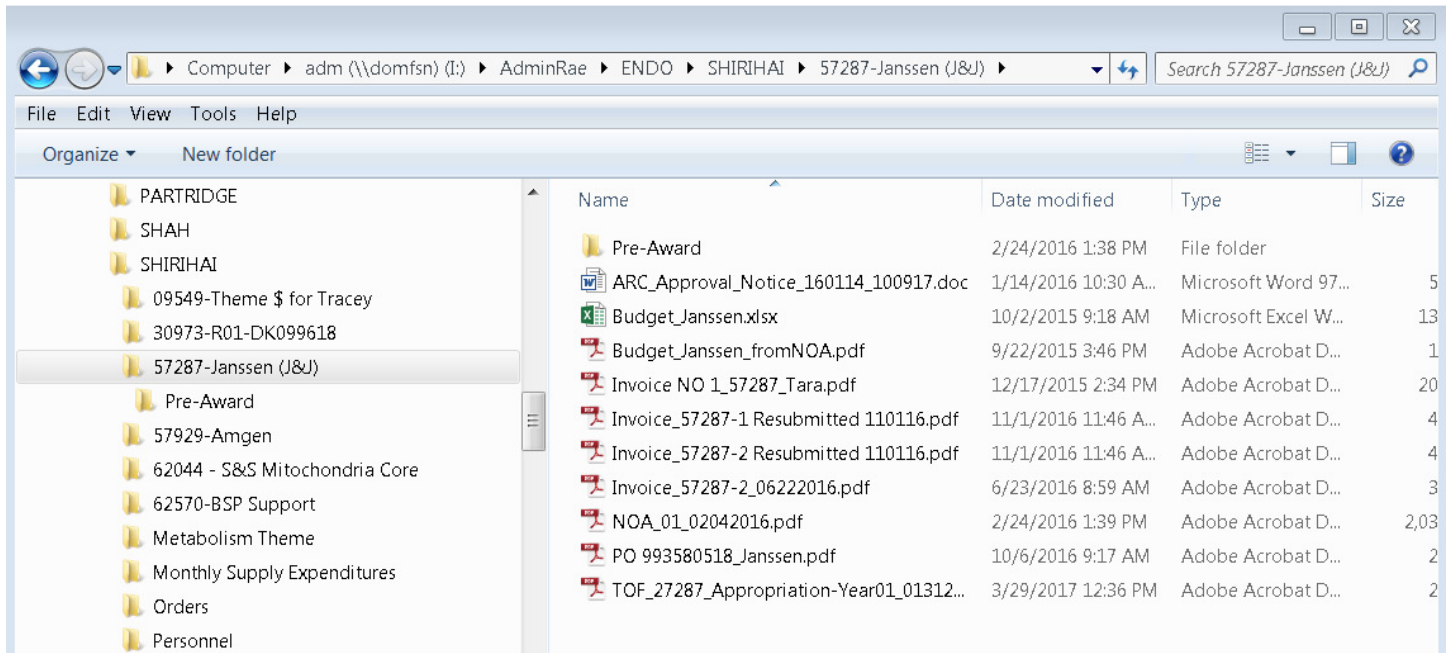
The folder for fund 57287 contains items like the Pre-Award folder, final budgets, copies of invoices sent to the sponsor, the Notice of Award (NOA), and Transfers of Funds.

Hint: In the screen shot above, it might be a good time to start a sub-folder within fund 57287 for "Invoices". As you notice a large number of similar items accumulating in the folder, create new sub-folders to make it easier to find everything.

Remember, this chapter is to serve as a guide and best practice. The types of folders and files contained in this chapter and its examples are not all-inclusive. Add files and folders as they serve your needs, and the needs of your PI.