**Grant File Documentation**

Effective: 5/9/2017

Enforced (budget period start dates): 7/1/2017

*(Last updated 6/23/21)*

**Before Uploading**

**All Uploads**

* Do not attach files within PDF files. Insert the pages or combine the files *(e.g. save and combine an email and its attachments)*. Adobe guide: [Adobe Acrobat XI Combine or Merge Files into Single PDF](https://nciconnect.nci.nih.gov/sites/OGA/Grant%20Review%20Resources/How%20To%20Page/Adobe-Combine%20or%20merge%20files%20into%20single%20PDF.pdf)
* Fillable forms (e.g. budget, SF-424, etc.) need to be changed to static/non-fillable PDFs prior to uploading into any system. For most, the easiest way to do so is to Print to Adobe PDF. It is acceptable to send these files back to the grantee for them to make this change or for the specialist to do so.
* You may add bookmarks if it helps process an award or action. Note: bookmarks cannot be depended on for future use/reference because they are known to disappear when combining files or downloading PDFs (known technical issues).
* When combining or adding multiple documents to the PDF file, it would be helpful to add (and/or update) a textbox on the 1st page that has a short description of what is in the file and page number.

**Correspondence/Email Documentation Best Practices\***

* Correspondence/emails should be stored in eGrants. Do not merge post-award correspondence with pre-award correspondence.
* Related messages should be consolidated into one file. It should be rare to require multiple "Correspondence” entries for the post-award correspondence in one grant. If multiple items of correspondence are separated by significant lengths of time or deal with completely different issues, it would make sense to store each item of correspondence separately.
* Avoid duplicating prior email messages.
  + If emails contain the full quote of the message they are replying to, do not upload the duplicative material.
  + If a Correspondence has already been created, it may be best to add the new information to the already existing documentation.
* Not all emails merit inclusion in the official grant file. Emails that should be included in the file have the following characteristics:
  + They identify the source of information.
  + They contain relevant information.
  + They were used to make a decision.
* Emails that are solely devoted to social pleasantries should not be stored in eGrants.
* Personal expressions and non-relevant material (like a discussion about the weather) should be removed from emails before they are uploaded. The simplest way of doing so is to forward the email to yourself and to delete the irrelevant information before sending it.

**Where Do I upload….?**

**GreenSheets Only Uploads**

* System for Award Management (SAM) confirmation – if there is a ‘hit’ and then cleared
  + ORI is now part of SAM *(separate GreenSheets questions will be updated/combined)*.
* NEAR confirmation, if there is a hit and then cleared
* 5 or more commitment plan, if required (ex. “K” 6.1)
* PD concurrence/clarification (related to a specific GreenSheets question)
* Negotiation email if not part of JIT correspondence (additional comments item)

Note: If there are no hits, do not upload screenshots.

**FACTS only** (no OGA upload to eGrants needed)

* Foreign Clearance

**eRA PRAM Module**

* eRA Progress Report Additional Materials (PRAM) feature provides a means for the grantee to enter, review, and submit information in response to specific request(s) from NIH for additional materials following the submission of an RPPR.
* Use instead of separate notification and uploading methods.
* eRA PRAM guide: [eRA PRAM (section of main guide)](https://nciconnect.nci.nih.gov/sites/OGA/Grant%20Review%20Resources/How%20To%20Page/eRA%20PRAM%20Section%20of%20Help%20Guide.pdf)

**eGrants Only Uploads**

* Categories with documentation created by other systems should continue to be updated/re-uploaded by OGA staff into the original category.
* All ‘correspondence’ related to an existing action category should be uploaded to it (not the general correspondence category).
* Original application file and other eRA uploaded files except JIT: only annotate based on review, do not insert or attach additional information.
* Use the following categories for OGA staff uploads based on the definition/use listed.

|  |  |  |
| --- | --- | --- |
| Category | Definition/Use | |
| Activation Notice: | Fellowship grants only | |
| Application File | Operations Branch use only for application files that are sent via email/’paper’ (supplements, etc.) not through IMPAC II. | |
| Application Update: | Updates to non-competing applications that do not fall into one of the other categories (combine all documentation into one file) | |
| Carryover | Request for carryover, PD approval and spreadsheet (duplicated until new carryover system workbook is released) | |
| Closeout: | IC closeout letter, duplicate FRAM and other closeout related emails and files | |
| CO6 Monitoring: | Construction grant use only until closed out in 2026 | |
| Concurrence/Deviation: | FCOI or FAPIIS memos, Denial Letter, Policy Deviation Memo, Concurrence in Award including balance approvals and Memo-to-the-File | |
| Correspondence\*: | Emails and files that do not contain information related to other action categories. | |
| eRA Notification | Do not use. Listed so eRA Notifications for supplements can operate as expected. | |
| F and A Rate: | Facilities and Administrative rate agreement(s) (multiple agreements should be combined into one file) | |
| Funding: | Funding plan, co-funding and direct CAN citation related emails and files. *Sub-categories listed below.* | |
| Co-Funding | | Co-funding document from NIH IC/other agency |
| Direct CAN Citation | | Direct CAN Citation from NIH OD |
| Funding Plan | |  |
| Prior Year Funds | | Request and approval combined in 1 file |
| Transition Approval | | Transition approval forms |
| Inventions: | All emails and documents related to grantee inventions (reminder invention reporting email) | |
| JIT Info: | Competing grant JIT should be uploaded to the JIT category. ‘JIT’ is documentation that is required to issue a competing award that was not included in the application and does not fall under the other categories.  Negotiation email if part of JIT correspondence | |
| No Cost Extensions: | No cost extension documentation | |
| PFR | Operations Branch use only to move system uploaded PFR files to another grant. | |
| PMS Report: | Payment Management System reports | |
| Post-Award Change: | All application changes that occur post-award. *Sub-categories listed below.* | |
| Addition of Foreign Site | | Type 5 foreign additions only |
| Award Revision | | Other revision categories not listed |
| PI | |  |
| Effort | |  |
| Key Personnel | | As reflected on the NOA |
| Rebudgeting | |  |
| Relinquishing Statement | | Not for transfers |
| Restricted Funds | |  |
| Scope | |  |
| Terms | |  |
| Progress Report: | Reports and approval emails from FDA and PD, interim progress reports (mid-budget reports received via email),cancer center non-competing supplement progress reports and mid-project extension RPPR | |
| Provisional Response: | Use for provisional or restricted award documentation | |
| Revised Abstract: | Revised abstract uploads must use this category (not application update) | |
| Revised Specific Aims: | Revised specific aim uploads must use this category (not application update) | |
| SBIR/STTR Funding Agreement Certification: | SBIR/STTR funding agreement certification | |
| Spread Sheet: | Staff created spreadsheets (not eRA workbooks), including proration calculation (training grants), carryover spreadsheet (duplicated until new workbook is released), Type 2 spreadsheet.  These should be uploaded as excel files, not PDF in order for formulas to remain visible. If another spreadsheet or a revision to an existing one needs to be done after an award is issued, it should be uploaded as a new spreadsheet upload in eGrants (not as a replacement). | |
| Supplement: | Emails and spreadsheet related to supplements that are rolled into a parent grant that are not system generated.  *Application file, PFR, PD Concurrence and eRA Notifications are added by system.* | |
| Termination Notice: | Fellowship grants only. | |
| Transfer Documents: | Use for all transfer documentation including relinquishing statements, letters, emails, final invention statement sent from another institute, etc. | |
| Unobligated Balance Analysis |  | |
| Concurrence in Award | |  |
| Mid-Project Extension | |  |
| Offset | |  |
| Reduction | |  |
| Reduction | |  |
| Skip-Year Appropriation | |  |
| Type 5 P30 and Supplement Review | |  |