

## What's in a Grant File?

Whether you use paper folders or electronic folders, ensuring you have organized grant files is essential to the success of a grant. Find a format that works for you and stick with it. If you will maintain paper files, make sure to use file folders that can accommodate separate sections, such as: application, award, modifications, reimbursements, reports, communication, etc. If you will utilize an electronic file system, establish naming conventions for each file and each document within that file. Consider adding dates if using the same type of name structure repeatedly.

**Example: *Subrecipient Name-Grant Number-Quarterly Reports Folder > January 2024 Quarterly Report.xls***

For ease of access, documents in files should have all current or most recent documents on the top. For instance, in the Report section, reports should be the first *period* report on the bottom and most recent period on the top.

Below is a basic framework for grant files, this list is not exhaustive and your files may require different documents based on the requirements of the funding and other factors:

**Primary Grant File:** This file will be used to keep all department level grant details. Typically this would include information that is specific to the department and the funding entity. The information retained in this folder should be accessible to all internal staff that will be working on the grant.

### Suggested File Content:

- SLFRF Governor's Office Interagency Agreement, Notice of Funding Opportunity, Statutory Authority, etc.
- SLFRF Department Certification
- SLFRF Eligibility Document and any modifications, if applicable
- Application to funding entity (non-SLFRF, if applicable)
  - All supporting documentation
  - Approvals/Signatures
- Correspondence
  - Internal
  - Funder
- Notice of Grant Award
- Grant Award Amendments, Interagency Agreement Amendments, etc.
- Approved Budget and any budget modifications
- Reports (Financial and Programmatic)
- Drawdowns



- Monitoring/Audit documentation

**Secondary Grant File:** This is an optional file that is a companion to the Primary Grant File. This file would contain all processes and documentation as it relates to subawards. This file could be incorporated into the Primary Grant File if preferred.

**Suggested File Content:**

- Subrecipient Request for Application (RFA) Package
- Applications (non-funded)
- Notifications and Communications
- Review documents (recorded conflict of interest for each reviewer for each subrecipient, all reviewer score sheets for each applicant, comments from all reviewers)
- Award process
- Appeals, if applicable
- Full subrecipient budget and list of each award amounts

**Subrecipient Grant File:** There should be a dedicated file for each subrecipient under the grant. These files will retain all of the necessary subrecipient grant processes and documents.

**Suggested File Content:**

- Application package
- Risk Assessment
- Fully executed grant agreement
  - Award checklist
  - Should also include all documentation needed to award such as:
    - UEI confirmation
    - Secretary of State (SOS) verification
  - All grant agreement modifications should be included in this section in order, with oldest toward the back, newest toward front (file folder)
- Budget, with most recent on the top
- Quarterly reports to include final, programmatic and financial reports
- Communications
- Training and technical assistance documentation
- Reimbursement Requests
- Monitoring Reports (desk or onsite)
  - All communications
  - Final report (including resolved corrective actions)
- Special conditions documents (Memorandum of Understanding, etc)
- Insurance certificates, only if applicable



- Recent copies or links of audits and/or recent financial statements
- Final reconciliation of financials (total reimbursement requests, amount paid, zero out or amount returned, etc.)
- Closeout checklist

**Reminder:** Departments and their subrecipients shall comply with the longest period of record retention required. For SLFRF, that period is a minimum of 5 years. If litigation or an audit is started prior to the end of the retention period, the retention period shall not begin until the end of the litigation or audit findings have been resolved. For additional information regarding record retention, please refer to the [OSC Records Retention](#) guidance.