ORSP Records Management Procedure

Expired - Keep expired file in hard copy until fund closes.
Closed - Organize file into single e-file based on steps below.
Not Funded - Immediately upon notification follow steps below.

1. Review paper folder and e-file and remove anything not needed (don't keep anything from Banner, anything financial, unnecessary correspondence, etc.).
2. Review database to be sure it is correct – all needed info entered, status appropriate (not funded, closed), **ADD** fund close date, disposal date.
3. Update External Checklist with final Technical Assistance Desk Review and disposal dates.
4. Scan designated items into the appropriate file:

    <u>**Not Funded**</u>:   * *Scan only if not funded within the last year.*
    Create a *single* PDF file, scanned in this order:
    - Not funded notice, reviewer comments
    - Forms - External Checklist*, Proposal Clearance, Indirect Cost Waiver, Request to Establish a Banner Fund, Cost Share (any signed doc needed if project is later awarded)
    - Proof of submission, Submission, Program Guidelines*
    - Other designated items

    <u>**Closed:**</u>
    Create up to 4 *separate* PDF docs + 2 *separate* subfolders in e-file (underlined item = document name, followed by items to include).
    - <u>Guidelines</u> - **single PDF** - Application Guidelines & Instructions, program announcement
    - <u>Submission</u> – **single PDF** - Proof of submission and application
    - <u>Internal Docs</u> - **single PDF**
        o External Proposal Checklist – make sure Technical Assistance Desk Review and disposal date are marked
        o Latest database 2 pages - (*update DB – "xx/xx/xx File moved to folder X for records retention"*)
        o Technical Assistance Desk Review
        o Notice of Project End Date
        o Cost transfer (main page only), budget revisions, original budget, Cost Share form
        o Current Year Award Form, Request to Establish a Banner Fund
        o Private Entities form
        o Proposal Clearance Form, Indirect Cost Waiver Form, Award e-mail, Orientation
        o Pertinent correspondence
    - <u>Awards</u> - **single PDF** - Amendments (Revision Clearance Form) and Agreement
        o Most recent scanned first.
        o Correspondence giving permission scanned with appropriate amendment/agreement.
    - <u>Subs</u> – **Separate folder** for subawards/subcontracts. Save each contract as separate document using Accounts Payable document name. Verify subcontract database entry.
    - <u>Time and Effort</u> – **Separate folder** for completed certification forms (pre-Banner).
5. Update Records Retention spreadsheet and database.
6. Move e-file to forestrygrants drive.
        Name: PCF#_PI Last name, First initial
        File by year/month of records destruction.
7. Administrative Assistant and Assistant Director verify each other's work.
8. Shred paper document

Updated 02/07/12