

**GMAS Repository Document Management Guidelines**

## Overview

This document provides guidelines for the use of GMAS (Grants Management Application Suite) document repositories. The guidelines are intended to support consistent, university wide document retention practices and to enhance usability and “findability” for all GMAS repository users.

The guidelines apply to all users of GMAS repositories. This document is intended primarily for use by those users who upload and review documents in the course of their regular job responsibilities: Grants Managers, Department Administrators, and OSP and SPA Offices team members. It is also to be used as a reference for those users who may access GMAS on a less frequent basis looking for documents to support specific reporting, compliance, or audit requests.

**Guidelines at a Glance**

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| **Do** | **Do Not** |
| Upload approved and/or submitted Documents | Upload initial work in process documents  Upload long, repetitive email chains |
| Delete prior versions when a revision is uploaded | Retain multiple versions of a document in the repository |
| Use Standard Folders when applicable | Upload *all* documents outside of folders or create multiple folders for just one or two documents |
| Name files using a basic descriptor (what the file is) followed by the date. Use the Description field in the repository to provide additional information about the file | Forget that for project administration, audit and compliance purposes, other users must be able to efficiently identify & access key documents |

If any documents on the “Do Not” list are uploaded, they may be removed by Central Administration.

## Guidelines

**Documents that should not be uploaded to GMAS**

The following documents, although they may be related to specific proposals, should not be uploaded to a GMAS repository. If they should be retained, they should be stored on users’ private or shared drives, as appropriate for the document type.

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| --- | --- |
| **Document** | **Comments** |
| Conflict of Interest (COI) Disclosures |  |
| COI Management Plans |  |
| Repetitive, or duplicated emails, or multiple threads on the same topic | Upload only those that contain a final decision or resulting process |
| High Risk Confidential Information (HRCI) | Transcripts, license or passport photos, visas. Anything that contains SSN or DOB. |
| Unsigned invoices, financial reports, reviews |  |
| Copies of GL back-up reports unless annotated | OBI reports that reconcile to a Financial Report, Invoice, or Review and can be reproduced. |
| Partially executed or completely unsigned agreements or modifications, once the final version is uploaded | Only the Fully Executed agreement or Modification should be retained. |
| Un-submitted versions of a request | The Final or AOR signed version as submitted should be locked by the Central Administrator. All prior versions should be deleted. |

**Document Versions in GMAS**

As the system of record for all sponsored program activities, only the final version of appropriate documents that were submitted and/or funded should be maintained in the GMAS repository. If any previous versions were uploaded, they must be deleted when the final version is uploaded. Prior versions of Proposal documents should be deleted once the final version is uploaded andsubmitted to sponsor. If a previous version is needed for tracking purposes, it should be retained on the user’s shared drive, OneDrive, SharePoint, etc.

It is the responsibility of the Department/local level user to delete prior versions. If prior versions are not deleted, Central Administrators will delete the previous versions when the finalized version is uploaded.

For internal control purposes, some documents are locked after upload or submission to sponsor by Central Administrators. If a document has been locked and should be moved or deleted, please contact your central administrator/central financial administrator to unlock, move/delete, and relock the document(s).

**Common Documents by Repository & Folder**

For transparency, and in support of internal controls, it is important that specific documents are consistently uploaded to specific repositories across projects regardless of the department, school, and central office responsible for the project. This ensures that all records can be easily identified and accessed by external auditors, sponsor audits, internal quality control, etc.

The table below identifies the common documents that may be created and uploaded throughout the lifecycle of an award, and identifies in which repository and folder each document should be maintained.

Documents that don’t fit into the folder categories below can be uploaded as single documents (outside of a folder). Not every folder named below will be applicable to every project. Folders/documents that are required for all projects are highlighted in yellow.

Documents that have been submitted to the sponsor will be locked by the Central Administrator after submission.

| **Repository** | **Folder** | **Documents in folder** | **Additional Notes, Examples** |
| --- | --- | --- | --- |
| **REQUEST** | **Proposal** | Final/Submitted Proposal documents | May include initial requests, extensions, early terminations, supplements, or continuations.  Includes submitted budget, budget impact statement, and internal budget (detailed excel budget that reflects the submitted budget) |
|  | **Sponsor Guidelines** | Funding announcement or solicitation  Program guidelines  Application instructions  Correspondence with sponsor (clarifications) |  |
|  | **Internal Docs** | Approvals or waivers  Review-related correspondence between dept. & central reviewer  Confirmation of proposal receipt | Emails or forms regarding:  Provost criteria, review & approval,  IDC waivers,  Exceptions to review deadline School-level review docs like “Dean’s Approval Questions” |
|  | **Subawards** | Subrecipient proposal docs (budget, SOW, SOI) | If more than one subaward (and multiple docs per subaward), helpful to create a sub-folder for each subaward |
|  | **JIT** | All documents submitted at Just in Time stage |  |
|  | **Reps & Certs** | NASA certifications, Lobbying, DoD Assurances and Certifications, ACORN, Organizational COI, “SETA,” PhD granting institute, etc. |  |
|  | **Pre-Proposal** | Guidelines  Proposal  Budget |  |
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| **SPONSOR NOTICE** | **Notice** | Final or fully signed version of the award notice, agreement, or modification  Activation Notice (for NIH fellowships) | Include modification number in file name. Include a clear descriptor of what action the notice is approving. |
|  | **Add ’l Sponsor Correspondence** | Correspondence with sponsor (clarifications of award terms, etc.) | Add Description |
|  | **Awarded Budget** | Revised budget (submitted or internal)  Breakdown of budget amounts by account when awarded budget is different than the submitted budget. | A revised budget is often necessary when the proposed budget has been significantly reduced upon award.  A budget breakdown (typically Excel) is only needed when there will be more than one account. |
|  |  |  |  |
| **SUBAGREEMENT** | **Subagreements** | Fully signed subagreement (with completed FFATA attachments)  Fully signed modifications(s) when applicable | For multiple-year sub awards, a folder for each year can be helpful to organize the agreements and related documents. |
|  | Awarded Budget - Sub | When applicable, revised versions of budget, SOW, contact information |  |
|  | No Folder | Correspondence with Subrecipient |  |
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| **SEGMENT** | **Invoicing Info** | **Current:** Final versions of invoices or financial reports submitted to sponsor  Closeout documents such as final progress report, invention statement  Fixed price residual balance form  Master Reporting/Invoice Template if applicable  **Post FIRST Implementation April 2018**:  Documents will be uploaded to the Financial Reports Document Repository related to each Deliverable.  *Segment Homepage>Financial Reports>select financial deliverable>Documents* | For awards where multiple invoices per year are required, it may be helpful to create sub-folders by year.  Any Related backup should be uploaded. |
|  | Cost Transfers | Cost Transfers (under 90 days)  Over 90 Day Cost Transfer | Folder may be created by departments for under 90 day cost transfers at departmental discretion.  OSP Research Finance approving manager will upload *all* over 90 day cost transfer forms.  *Use description to clearly ID over or under 90 day* |
|  | FFATA Reports | Issued FFATA Reports | Folder may be created by OSP Senior Sponsored Programs Administrator where applicable. This continues the current process. |
|  | Cost Sharing | HUCSF  Other supporting Cost Sharing Documents | Use one folder for all cost sharing documents, including any that may have originated at the request stage |
|  | Revised Budgets | Revised budgets created after the award has been set up that are not linked to a specific request | This is an optional folder |
|  | No Folder | Other non-financial reports  Request Justification  Equipment Re-Budget | Request justifications notify sponsors of actions that are not subject to prior approval, but for which we should inform the sponsor.  If needed, a non-financial report folder may be created. |

**File Names**

Specific naming conventions for each document are not mandated. However, it is suggested that a simple, common sense approach of “Document Name\_Status\_YYYY-MM-DD is used. For example: “Proposal\_Final\_2017-02-15”, “Internal budget\_Draft\_2017-07-20”, etc.

***Please use the Description field in the repository to provide a concise descriptor of the purpose of the document.***