



# CONVENTIONS FOR ATTACHMENTS IN eRA

LAST UPDATED: 4/11/16

## CONTENTS

<b>File naming convention changes from Filemaker to eRA .....</b>	<b>3</b>
Former Conventions in FilemakeR.....	3
Current Proposal conventions in eRA .....	4
<b>eRA File-Naming Conventions.....</b>	<b>5</b>
Subs.....	5
Proposal Files .....	5
Deliverables .....	5
Post-Award Files .....	5
Agreements without Funds (AWOF) Files:.....	5
Correspondences.....	5
Other NoteS Regarding Attachments .....	6
Folders for Subcontracts .....	6
<b>Attachment Tags, Categories, &amp; Folders .....</b>	<b>7</b>

## NAVIGATION IN eRA

Attachments are where all documents are stored in eRA. There is a folder associated with each proposal, and there is a comprehensive attachment folder for the project:

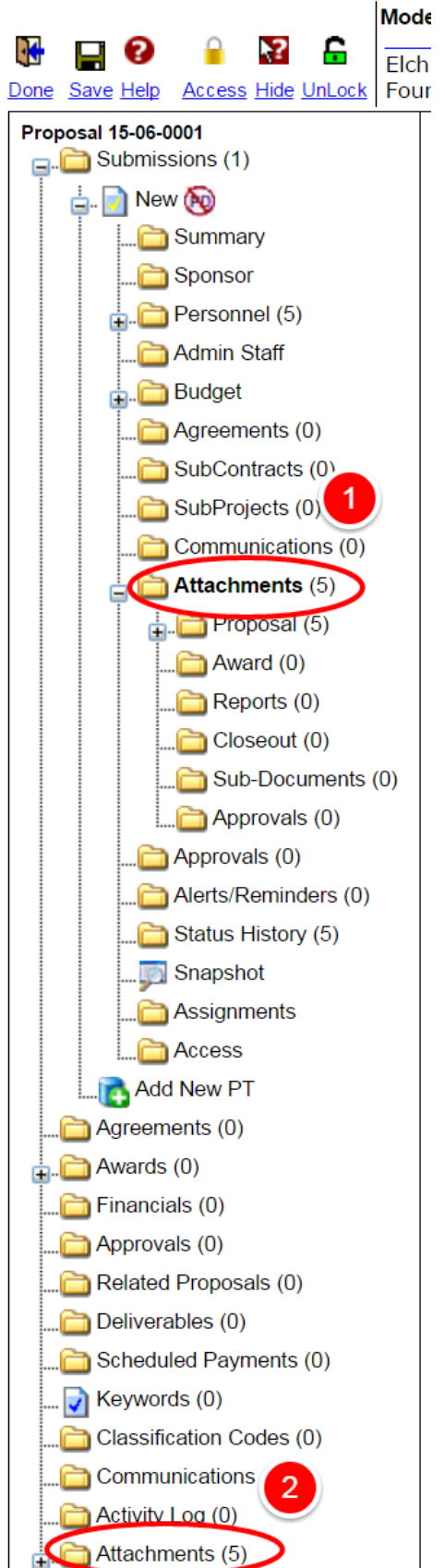
- 1) **“Proposal”** folder: The top folder (**PT > Submissions > Attachments**) is associated with documents attached at the proposal stage.
- 2) **“Comprehensive”** folder: The bottom folder (**PT > Attachments**) is associated with post-award documents.

In addition, there are nested folders under each attachment folder:

- Proposal
- Award
- Reports
- Closeout
- Sub-Documents
- Approvals

Proposal documents should be attached to the Proposal folder, under the attachments folder of the proposal in which they were submitted.

All other documents should be attached to the comprehensive folder for the award.



The screenshot displays the eRA interface for Proposal 15-06-0001. At the top right, there is a 'Mode' dropdown menu set to 'Elch Four'. Below it are navigation buttons: Done, Save, Help, Access, Hide, and UnLock. The main area shows a hierarchical folder tree. Under 'Submissions (1)', there is a 'New' folder with a red 'X' icon. Below it are folders for Summary, Sponsor, Personnel (5), Admin Staff, Budget, Agreements (0), SubContracts (0), SubProjects (0), Communications (0), and Attachments (5). The Attachments (5) folder is circled in red and has a red '1' next to it. Under this folder, there are sub-folders: Proposal (5), Award (0), Reports (0), Closeout (0), Sub-Documents (0), and Approvals (0). Below the main tree, there is an 'Add New PT' button and a list of other folders: Agreements (0), Awards (0), Financials (0), Approvals (0), Related Proposals (0), Deliverables (0), Scheduled Payments (0), Keywords (0), Classification Codes (0), Communications, Activity Log (0), and Attachments (5). The bottom Attachments (5) folder is circled in red and has a red '2' next to it.



## FILE NAMING CONVENTION CHANGES FROM FILEMAKER TO eRA

File naming and saving conventions will change between the old Filemaker system and the new InfoEd system.

Proposals numbered under Filemaker will not be renumbered for InfoEd. So, until those proposal closeout, we will be save proposals numbered under the old system using the Filemaker proposal number conventions.

Conversion of data occurred on 06/25/2015. Any unawarded proposals were given an eRA proposal number. Going forward, proposals numbered under the eRA system will be saved according to that convention.

*Similarly*, new award emails, plus attached awards, received post-conversion will be the only two files saved in the proposal folders. Working directories will house working copies of files, and the official finalized versions of documents will be uploaded into eRA, as the official repository.

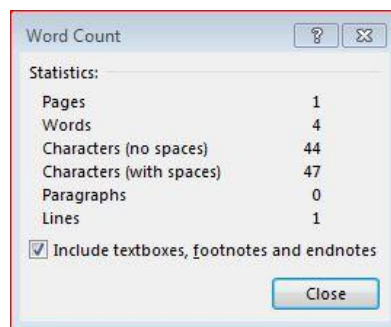
## FORMER CONVENTIONS IN FILEMAKER

1. Proposal numbers in Filemaker were arranged by sponsor-centered numbers:
  - e.g., 0415.07.0907B
  - 0415 = Proposal was submitted in April of 2015
  - 07 = Miscellaneous Federal sponsors == [first numerical arrangement was by this no.]
  - 0907 = sequentially assigned number in 2015
  - B = Boulder campus
2. Documents in the X:\drive Proposal Folders can ONLY be stored in PDF or Excel format. Items cannot be stored as email message files, Word documents or Power Point files. All items other than Excel budgets should be converted to PDF format before saving to a Proposal folder. Email message files should be moved into the working directory.
3. Proposal folders should NOT be used as working folders. The proposal folders are for final versions of documents. The X:\drive Working Directory exists for items that are “in progress”.
4. Use of the “Correspondence” Folder: From 10/2/14-06/25/15, a “Correspondence” folder may have been used within the proposal file. For folders that had many files stored, the purpose was to make award documents easier to find. That folder was for post award correspondence ONLY. It was used primarily for the storage of emails (as PDFs). The naming convention for emails was the same:
  - Award #\_Date (mm.dd.yyyy)\_Email\_Tag
5. Subfolders should ONLY be used within a proposal folder in the following instances:
  - Subcontracts
  - Supplemental/Continuation proposal under a parent proposal (only proposal documents)
  - Correspondence



## CURRENT PROPOSAL CONVENTIONS IN eRA

1. The award **ONLY** will be attached to the eRA record during logging:
  - Files cannot be drag and dropped into eRA, so loggers will drag, drop and save the email message to the X:/Drive proposal folder.
  - The award document will be extracted, renamed according to File Naming Conventions, saved and uploaded into InfoEd (in its original format).
  - The email will be renamed using File Naming Conventions.
  - This will make the original email and ALL attachments available to Processors. The processor will use the email to get any additional attachments beyond the award document. The Processor will move the email message to the working directory.
  
2. The final version of all other files will be saved in InfoEd as the official repository, with copies in officers' working directories:
  - Proposals created in InfoEd will be arranged by the new proposal format of Year/Month:
    - e.g., 15-06-1300 = Year 2015, Month June, Sequentially assigned proposal# 1300
  - File types for attachments in InfoEd – other than budgets (which can be left in Excel format), award documents, approvals, correspondence, etc. should be converted to PDF.
  
3. Items should be stored using the standardized Tags whenever possible, using the File Naming Conventions.
  - The naming convention for emails will continue to be the same, as follows:
    - Award #\_Date (mm.dd.yyyy)\_Email\_Tag
  
4. When emails must be saved in InfoEd, they will be saved as the .pdf version.
  - A more descriptive, free-style “statement” at the end of the file name, maybe used if necessary, while trying to keep the name as brief as possible. This will allow the officers to store emails individually and differentiate them by subject matter.
    - There is a 50-character limit to file names.
    - e.g., OCG6000B\_05.21.2015\_Email\_RA\_Council Approval
    - e.g., OCG6000B\_05.21.2015\_Email\_RL on export concerns





## eRA FILE-NAMING CONVENTIONS

---

### SUBS

Account/Project#\_Sub name\_Mod# OR Account/Project#\_Sub name\_PO#

Example: 1550555\_Raytheon\_Mod 0

---

### PROPOSAL FILES

- Proposal Number\_Tag
- Example: 15-05-0005\_Budget

---

### DELIVERABLES

- Award#\_Report type as named by sponsor\_Due Date

---

### POST-AWARD FILES

#### 1. Awards and associated documents:

- Award#\_Mod#\_tag

#### 2. Routing-AS-Proposal (RASP) [follows proposal format]:

- Proposal Number\_Tag
- Example: 15-05-0005\_Budget

#### 3. Budgets:

- At the award stage, officers must create a copy of the awarded budget and save it as:
  - Award #\_Mod#\_Budget.
- This must be saved as BOTH a PDF and Excel spreadsheet. However, it is the EXCEL budget that is e-routed to SPA. The original proposal budget should not be altered.

#### 4. CAS forms:

- Example: Award#\_Date\_CAS

---

### AGREEMENTS WITHOUT FUNDS (AWOF) FILES:

- AWOF type two-letter abbreviation\_Other Party\_UCB PI\_AWOF#
- Example: DT\_National Library of Medicine\_Keller\_DT-920

---

### CORRESPONDENCES

As possible, correspondence obtained by the pre-award team should be combined into one PDF and saved in the Proposal folder.

The naming convention will be slightly different than for other documents. It will begin with the Award number and date, followed by the tag "Email". Also add a tag referencing the subject of the email, if helpful:

- Award #\_date\_Email\_tag
- Example: NRB12345\_10.01.2014\_Email\_NCE
- Email can also be saved with subsequent numbers, i.e. \_Email1, Email2, Email3, etc.

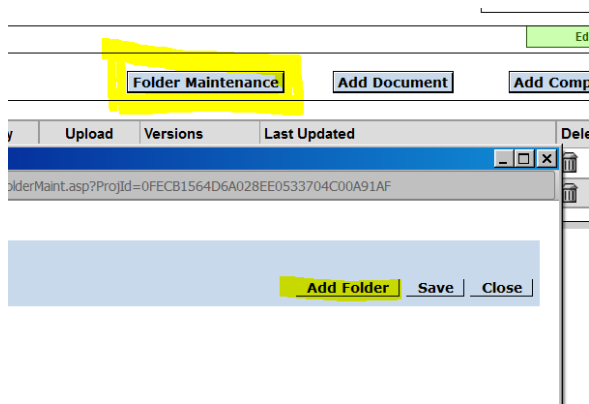
### OTHER NOTES REGARDING ATTACHMENTS

- If signatures have been obtained on different copies of the same form, combine them into one PDF. (e.g., PI, Department Chair and Dean have signed different copies of the same Cost Share Form).
- No need to save copies of attachments if they are within the final, submitted proposal.

### FOLDERS FOR SUBCONTRACTS


No folders should be added except for sub-documents. A folder should be added for each subcontract.



- To add a folder, click **Folder Maintenance**, then the folder button in the pop-up window. This opens the Folder Maintenance window:



- The Folder Name should be the same as the subcontract name. The Folder Parent should be the Sub Document Folder:

**Folder Maintenance** [Add Folder](#) | [Save](#) | [Close](#)

Parent Folder:  Attachments

Folder Name	Folder Parent	Folder Sequence	Delete
University of Utah	Sub Documents 		



## ATTACHMENT TAGS, CATEGORIES, & FOLDERS

- Choose the Name, Category, and Folder based on the following attachment list:

NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_FINBUDGET</b>	Account Code Budget	Budget	Proposal or Award	
<b>_Institution_AddSub</b>	Addition of subaward (documents submitted to sponsor to add award after award made)	Supporting Documentation	Sub Documents	
<b>_APF</b>	Additional Pay Form	Internal Form	Award	
<b>_Institution_Mod# (Mod0, Mod1, Mod2, etc.)</b>	Agreement and Mod # [Subs]	Core Documentation	Sub Documents	
<b>_STTR/SBIR</b>	Allocation of Rights Agreement	Core Documentation	Root	
<b>_IACUC</b>	Animal Care and Use Documents	Internal Approvals	Approvals	
<b>_CarryFwdApp</b>	Approval to carry forward funds from one budget period to the next	Sponsor Approvals	Award	
<b>_Approval</b>	Approvals, non-specified	Sponsor Approvals	Approvals	
<b>_AtRisk</b>	At Risk Request Form	Internal Approvals	Approvals	
<b>_Relinquishment</b>	Award transfer to another institution	Supporting Documentation	Award	
<b>_BA</b>	Bailment Agreement	Core Documentation	Root	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_DeptContactChg</b>	Change of a department contact as notified by Project Fiscal Manager Change form	Internal Form	Award	
<b>_Institution_CK</b>	Checklist [Subs]	Internal Form	Sub Documents	
<b>_PITransferIn</b>	Communication re PI transfer in from another institution	Supporting Documentation	Proposal	Delete
<b>_CDA/NDA</b>	Confidentiality Disclosure/ Non-Disclosure Agreement [handled by TTO]	Core Documentation	Root	
<b>_CON</b>	Confirmation of Submission	Supporting Documentation	Proposal	
<b>_DEPA</b>	Conflict of interest documents, including financial conflict documents. Note: This tag is only for converted records pre-PSR form	Internal Form	Proposal	
<b>_CRR</b>	Contract Review Record – LASP only	Internal Form	Award	
<b>_CR</b>	Cooperative Research and Development Agreement [CRADA]	Core Documentation	Root	
<b>_Email</b>	Correspondence, letters, email or other documents of note	Supporting Documentation	Proposal, Award, Sub Documents, Reports, Closeout,	





NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
			Approvals, Root	
<b>_CAS</b>	Cost Accounting Standards Exceptions Form. (Named as: Award #_Date_CAS)	Internal Form	Award	
<b>_CSF</b>	Cost Sharing Form and documentation	Internal Form	Proposal	
<b>_Institution_CP</b>	Cost/Price Analysis [Subs]	Internal Form	Sub Documents	
<b>_CourseBuyout</b>	Course Buyout Approval	Internal Approvals	Proposal	
<b>_DataAccess</b>	Data Access Request Form	Core Documentation	Root	
<b>_DT</b>	Data Transfer or Data Access Agreement	Core Documentation	Root	
<b>_SponApproval</b>	Documentation of sponsor approval when a formal mod is not issued	Sponsor Approvals	Approvals	
<b>_SpReq</b>	Documentation of sponsor request when a formal mod is not issued	Supporting Documentation	Award	
<b>_EXCHRATE</b>	Documentation of the currency exchange rate at time of proposal	Supporting Documentation	Proposal or Award	
<b>_Closeout</b>	Documents related to closeout	Supporting Documentation	Reports	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_Email1,2,3...</b>	Emails received on the same day will be saved with the next number in succession from any already stored in the permanent record. (Use this only if a sub-tag cannot be used to further define the email contents – so if Email1 exists, name the file Email2, and so on)	Supporting Documentation	Proposal, Award, Sub Documents, Reports, Closeout, Approvals, Root	
<b>_EHS</b>	Environmental Health and Safety	Internal Approvals	Approvals	
<b>_EPC</b>	EPC Form used when code is not research	Internal Form	Award	
<b>_EL</b>	Exceptions Letter	Supporting Documentation	Award	
<b>_Export</b>	Export Control Documents	Internal Approvals	Approvals	
<b>_FU</b>	Facilities Use Agreement	Core Documentation	Root	
<b>_FDP</b>	Federal Demonstration Partnership Forms	Supporting Documentation	Proposal or Award	
<b>_FFATA</b>	FFATA Attachment 3A/3B form, when Submitted separately from the proposal	Supporting Documentation	Proposal or Award	
<b>_IRB</b>	Human Subject Approval	Internal Approvals	Approvals	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_ICRSplit</b>	ICR Split Agreement	Internal Approvals	Approvals	
<b>_IDCAddendum</b>	IDC Addendum	Internal Form	Approvals	
<b>_IDCWaiver</b>	IDC Waiver and documentation	Internal Form	Approvals	
<b>_Institution_IDCRA</b>	Indirect Cost Rate Agreement [Subs]	Supporting Documentation	Sub Documents	
<b>_IA</b>	Inter-campus Agreement/MOU	Supporting Documentation	Root	
<b>_IPA</b>	Intergovernmental Personnel Agreement (includes Interagency Agreement)	Core Documentation	Award	
<b>_CA</b>	Internal China Assurance form (signed by PI)	Internal Form	Proposal	Changed category to internal form
<b>_SampleInvoice</b>	Invoice template for SPA provided by sponsor	Supporting Documentation	Award	
<b>_JAA</b>	Joint Appointment Agreement	Core Documentation	Root	
<b>_JIT</b>	Just In Time Report	Supporting Documentation	Proposal	Delete
<b>_LA</b>	License Agreement (includes Lease Agreement)	Core Documentation	Root	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_Institution_SPO#</b>	Marked up SPO [Subs]	Supporting Documentation	Sub Documents	
<b>_MA</b>	Master Agreement (includes Master Task Order Agreements & BOAs)	Core Documentation	Root	
<b>_MTA</b>	Material Transfer Agreement	Core Documentation	Root	
<b>_NIH</b>	NIH certification document from Filemaker. Note: This is for converted records only	Supporting Documentation	Proposal	
<b>_NCEApproval</b>	No Cost Extension approval	Core Documentation	Award	
<b>_NCE</b>	No Cost Extension – generic; use more specific tag when applicable	Core Documentation	Award	
<b>_NCERequest</b>	No Cost Extension request	Supporting Documentation	Award	
<b>_TUITION</b>	Non-allowable Tuition Arrangements	Internal Approvals	Approvals	
<b>_NDA</b>	Non-Disclosure Agreement	Core Documentation	Proposal, Award or Root	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_Non-monetary</b>	Non-specified AWOFF (includes Center By Laws CB, Center Membership Agreements CM, Collaboration Agreements CO, Consortium Agreement CN, Education Partnership Agreement EP, Export Control Acceptability Agreement EC, Miscellaneous Agreements MI, University Master Design Materials Agreement UM, etc.)	Core Documentation	Root	
<b>_Award</b>	Notice of Award or award document	Core Documentation	Award	
<b>_DENIAL</b>	Notification of Proposal Denial	Supporting Documentation	Proposal	
<b>_WITHDRAW</b>	Notification of proposal withdrawal	Supporting Documentation	Proposal	
<b>_Budget1,2,3...</b>	Official revision submitted to sponsor. (Each additional revision saved as next sequential #, e.g., if Budget1 exists, name the file Budget2, and so on)	Budget	Proposal or Award (depending on when collected)	
<b>_OPAS</b>	Organizational Prior Approval	Internal Form	Approvals	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_Petty Cash/Change Fund Request</b>	Petty Cash/Change Fund Request	Supporting Documentation	Award	
<b>_PFMChange See _DeptContactChg</b>	PFM or Primary Fiscal Manager Change			
<b>_PI</b>	Principal Investigator Approval – chair approval for ineligible personnel to be PI	Internal Approvals	Approvals	
<b>_PIApproval</b>	Principal Investigator Approval – chair approval for ineligible personnel to be PI pre PI eligibility policy	Internal Approvals	Approvals	
<b>_PR</b>	Progress Report. Subsequent reports would be PR1, PR2, etc.	Report	Reports	
<b>_Budget</b>	Proposal Budget in internal format (Excel format)	Budget	Proposal or Award (depending on whether it is pre- or post-award)	
<b>_PSR</b>	Proposal Submission Request Form	Core Documentation	Proposal	
<b>_PO#</b>	Purchase Order and mod#, (e.g., PO0, PO1, PO2)	Core Documentation	Award, Sub Documents	
<b>_IBC</b>	rDNA or any other bio-safety documents	Internal Approvals	Approvals	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_Report See _PR#</b>	Reports (not incl. Final Reports—see Closeout)			
<b>_REPS</b>	Representations and Certifications	Supporting Documentation	Proposal or Award	
<b>_CarryFwdReq</b>	Request to carry forward funds from one budget period to the next	Supporting Documentation	Award	
<b>_BudgetDeviation</b>	Request/Approval for a deviation in the budget	Supporting Documentation	Award	
<b>_ConsultantAddition</b>	Request/Approval to add a consultant to a project	Sponsor/Internal Approvals	Award	
<b>_SubAddition see _AddSub</b>	Request/Approval to add subaward to project			
<b>_Travel</b>	Request/Approval to add travel	Sponsor/Internal Approvals	Approvals	
<b>_CarryForward</b>	Request/Approval to carry forward funds from one budget period to the next	Supporting Documentation	Award	
<b>_PIChange</b>	Request/Approval to change PI	Sponsor Approvals	Approvals	
<b>_SOWChange</b>	Request/Approval to change Statement of work – Post-award only	Sponsor Approvals	Approvals	
<b>_ORGChg</b>	Request/Approval to change UCB	Supporting Documentation	Approvals	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
	organization number (email from SPA)			
<b>_Equipment</b>	Request/Approval to Purchase Equipment	Sponsor/Internal Approvals	Approvals	
<b>_EffortReduction</b>	Request/Approval to reduce effort on a project	Sponsor Approvals	Approvals	
<b>_FundsTransfer</b>	Request/Approval to transfer funds between accounts	Internal Approvals/Form (use Form if a form is used)	Award	
<b>_PSupportTransfer</b>	Request/Approval to transfer funds out of the Participant Support Category	Sponsor Approvals	Approvals	
<b>_J1</b>	Revised Justification. (Second revision would be J2 and so on)	Supporting Documentation	Proposal or Award (depending on when collected)	
<b>_BudgetJustification1</b>	Revised Justification. Second revision would be BudgetJustification2, etc.	Supporting Documentation	Proposal or Award (depending on when collected)	
<b>_Proposal1</b>	Revised proposal. Second revision would be Proposal2 and so on	Core Documentation	Proposal	
<b>Institution_RA</b>	Risk Analysis [Subs]	Supporting Documentation	Sub Documents	





NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_SpecialInstructions</b>	Separately received instructions from sponsor	Supporting Documentation	Award	
<b>_BillingInstructions</b>	Separately received instructions on how to bill for SPA from sponsor)	Supporting Documentation	Award	
<b>_SponsorPolicies</b>	Separately received policy “manuals” from sponsor	Supporting Documentation	Award	
<b>_Institution_SoleSource</b>	Sole Source Justification	Internal Form	Sub Documents	
<b>_Institution_SSJ</b>	Sole Source Justification [Subs]	Internal Form	Sub Documents	Delete
<b>_FOA</b>	Solicitation or Funding Opportunity Announcement	Core Documentation	Proposal	
<b>_SpC</b>	Special Conditions Justification Form	Internal Form	Proposal	
<b>_SFB</b>	Sponsor Formatted Budget. This is used when a sponsor like DOE or DOD requires a multiple worksheet budget be submitted in Excel format or an R&R Budget form is submitted separately from a Grants.gov package. (Revisions should be stored as SFB 1,2,3, etc.)	Supporting Documentation	Proposal	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
<b>_IDCMOU</b>	Standing IDC MOUs	Internal Approvals	Approvals	
<b>_Institution_SCRR</b>	Sub Documents Contract Review Record [Subs]	Internal Form	Sub Documents	
<b>_SRR</b>	Sub Documents Review Form [Subs]	Internal Form	Sub Documents	
<b>_Institution_SSBP</b>	Sub Documents Small Business Subcontracting Plan [Subs]	Internal Approvals	Sub Documents	
<b>_Institution_SP</b>	Subcontract Proposal (incl.: SOW, Budget, Budget Justification) [Subs]	Supporting Documentation	Sub Documents	
<b>_Institution_SubBudget</b>	Subcontract proposal budget (save as Excel document)	Budget	Sub Documents	
<b>_Institution_SCF</b>	Subrecipient Commitment Form	Supporting Documentation or Internal Form	Proposal, Award or Sub Documents	
<b>_Institution_SAM</b>	System of Award Management [Subs]	Supporting Documentation	Sub Documents	
<b>_TA</b>	Teaming Agreement (includes Technical Assistance Agreement TA)	Core Documentation	Root	
<b>_Proposal</b>	The complete proposal file that was Submitted to the sponsor, may include: SOW, Budget,	Core Documentation	Proposal	



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
	Justification, LOC, , or Grants.gov or Fastlane package)			
<b>_Routing</b>	The routing sheet or similar document. Note: This is for converted records only	Internal Form	Award	
<b>_Institution_Mod#_Budget</b>	This tag will begin with the Award #, followed by the Mod#. It will be used for official budgets including revisions and incremental funding. Docs will be saved in Xcel and PDF	Core Documentation	Sub Documents	
<b>_TRAN</b>	Transmittal	Supporting Documentation	Proposal or Award	
<b>_PR# or (Award Number)_Report</b>	Use convention detailed in “Entering and Attaching Deliverables” guide. If deliverable has not been created, use PR1, with the number corresponding to year (and Subsequent reports PR2, etc.)	Report	Reports (not incl. Final Reports—see Closeout)	
<b>_VS</b>	Visiting Scientist Agreement	Core Documentation	Root	
<b>_Attach1, 2, 3</b>	When an award comes in in pieces, including attachment 1, 2, 3, 4, etc. (We cannot review just the one award document before	Supporting Documentation	Award	Delete



NAME	DOCUMENT	CATEGORY	FOLDER	REVISION NOTES
	signing, but must review all attachments as well)			
<b>_ApprovalExport</b>	When Export Control approves language in a contract	Internal Approvals	Approvals	
<b>_ApprovalTTO</b>	When TTO approves language in a contract	Internal Approvals	Approvals	
<b>_ApprovalCounsel</b>	When University Counsel approves language in a contract	Internal Approvals	Approvals	