

eRA User Guide: **Attachments**

Updated: 11/17/17

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NAVIGATION IN eRA

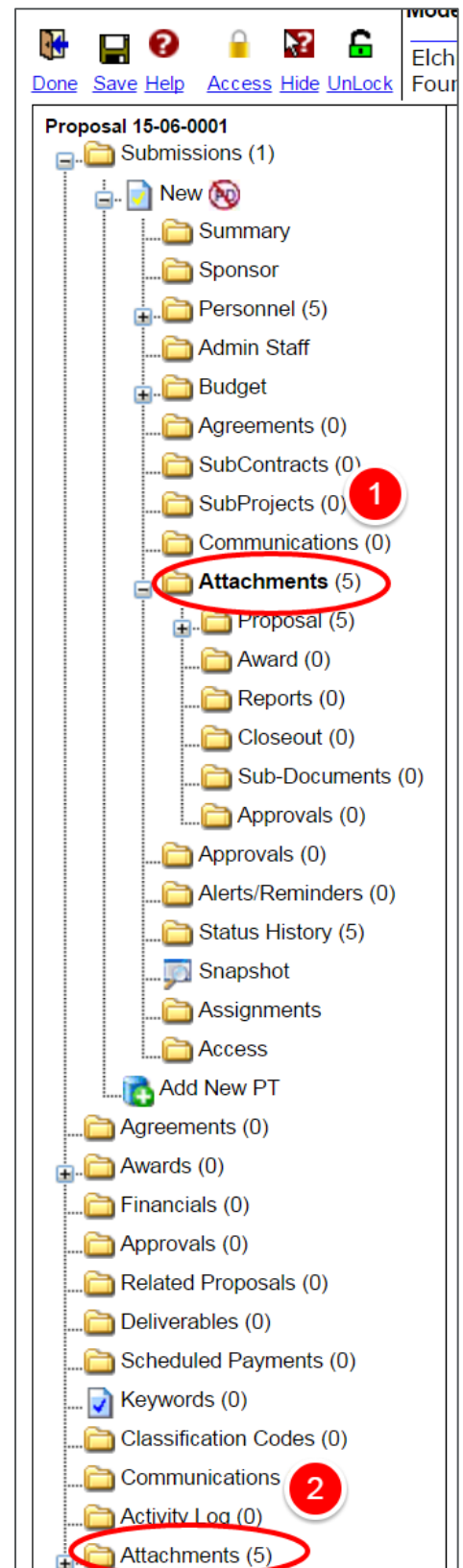
Attachments are where all documents are stored in eRA. There is an Attachments folder nested under each proposal (see 1) as well as a master Attachments folder containing all documents associated with the master and child proposals (see 2).

Under each attachment folder there are nested folders:

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

Proposal documents should be attached to the Attachments folder nested under the specific proposal's folder.

All other documents should be attached under the Master folder.



FORMER CONVENTIONS FOR FILEMAKER

Conversion of data occurred on 06/25/2015. Any unawarded proposals at the time were given an eRA proposal number. Awarded proposal records created in Filemaker were not renumbered for eRA.

Proposals in Filemaker were named according to Month/Year/Sponsor/Sequence.

- Ex: **0415.07.0907B**
 - o 0415 = Proposal was submitted in April of 2015
 - o 07 = Miscellaneous Federal sponsors == [first numerical arrangement was by this number]
 - o 0907 = sequentially assigned number in 2015
 - o B = Boulder campus

Files in the X:\drive “Proposal Folders” were ONLY stored as PDFs or Excel. All items other than Excel budgets were converted to PDF before being saved to a Proposal folder. Before eRA the proposal folders served as the repository for final versions of documents.

The X:\drive “Working Directory” exists for items that are in progress. For example, emails were saved into a staff member’s working directory.

Subfolders were ONLY used within a proposal folder in the following instances:

- Subcontracts
- Supplemental/Continuation proposal under a parent proposal (only proposal documents)
- Correspondence
 - o From 10/2/14 to 06/25/15, a Correspondence folder may have been used within the proposal file. This folder was used for post-award correspondences (e.g. emails saved as PDFS) with the intent to make award documents easier to find. These files were named **Award #_Date (mm.dd.yyyy)_Email_Tag**.

CONVENTIONS FOR eRA

Proposals created in eRA are named according to Year/Month/Sequence.

- Ex: **15-10-0012**
 - o This was the 12th proposal record created in the month of October in 2015.

The final version of all files should be saved in eRA as the **official repository of record**.

- Convert all attachments to PDF before uploading to eRA with the exception of budgets. Budgets should remain in the Excel format.
- Affix standardized tag to the end of filename – see [Appendix](#) for tag list.
 - o A descriptor at the end of the file name may also be used. Please note, there is a **50-character limit** to filenames.
- During the logging process, ONLY the award letter will be attached to the eRA record. (See ***Logging User Guide*** for more information.)

Proposal Files

NEW DOCUMENTS

SYSTEM	FILENAME CONVENTION	EXAMPLE
eRA	Proposal #_Tag	15-05-0005_FINBudget
X: Drive	At minimum: Proposal #_Tag <i>PAs may include additional information in their filenames.</i>	15-05-0005_Aragon_NIH_FINBudget

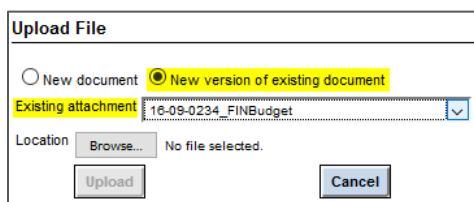
NEW VERSIONS OF EXISTING DOCUMENTS

Follow these instructions when saving final, official revisions of existing proposal documents submitted to sponsor (i.e. budgets, proposal documents, budget justification).

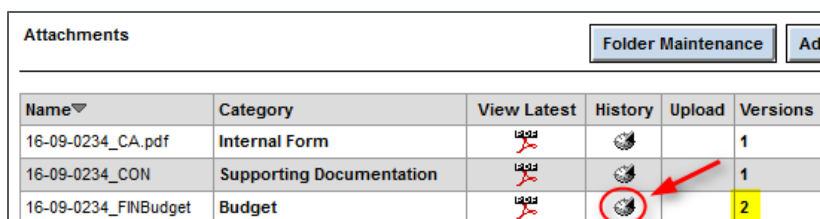
SYSTEM	FILENAME CONVENTION	EXAMPLE
eRA	No Change to Filename <i>See upload instructions below.</i>	15-05-0005_FINBudget
X: Drive	At minimum: Proposal #_Tag_ Revision Date_“Revised” <i>PAs may include additional information in their filenames.</i>	15-05-0005_ FINBudget_10132017_Revised 15-05-0005_Aragon_NIH_FINBudget_10132017_Revised

To upload a new version of an existing document in eRA:

1. Select the **New version of existing document** option.
2. Select the file you are replacing from the **Existing attachment** list.
3. Open **Browse...** and select the new version of the file from your computer.
4. Click **Upload**.



5. To access **Document Upload History**, click on the History icon: .



Attachments					
			Folder Maintenance	Add	
Name▼	Category	View Latest	History	Upload	Versions
16-09-0234_CA.pdf	Internal Form				1
16-09-0234_CON	Supporting Documentation				1
16-09-0234_FINBudget	Budget				2

Post-Award Files

Notice of Award and associated documents post-award will reflect Award #:

- **Award#_Mod#_tag** -- see [Appendix](#) for tags list

SPECIAL CASES

At-Risk Documents

- **Proposal#_AtRisk** | Ex: "15-09-0015_AtRisk"

If it is necessary to differentiate between multiple at-risk increments, add date to the end of the tag:

- **Proposal#_AtRisk_Date** | Ex: "15-09-0015_AtRisk 2015.10.21"

Routing-As-Proposal (RASP) Documents -- follows Proposal format

- **Proposal #_Tag** | Ex: "15-05-0005_FINBudget"

Agreements without Funds (AWOF) Documents

- **AWOF type's two-letter abbreviation_Other Party_UCB PI_AWOF#** | Ex: "DT_National Library of Medicine_Keller_DT-920"

Correspondence

- **Award#_Email_YYYY.MM.DD_Optional Descriptor**
- Ex: "NRB12345_Email_2014.10.01_NCE"
 - o Email received in the same day can be distinguished by adding # (e.g. _Email1, Email2)

Note: Correspondence obtained by the proposals team should be combined into one PDF and saved in the Proposal folder.

SubAward Files

Documents associated with the SubAward will reflect PS Project #:

- **Project#_Institution_Mod#(or PO#)_tag** | Ex: "1550555_Raytheon_Mod 0_Budget"

SUBCONTRACT FOLDERS

A folder should be created/added to the Attachments folder for each subcontract. No other folders should be created/added.

To add a folder:

1. Open the master Attachments folder
2. Click **Folder Maintenance**

Attachments							
				Folder Maintenance	Add Document	Add Components	
Name▼	Category	View Latest	History	Upload	Versions	Last Updated	Delete
151552919_CSU_Mod 0_CK.doc	Internal Form				1	26-Jun-2015 6:12:03 PM	
151552921_Colorado Mesa_Mod 0_CP.docx	Internal Form				1	26-Jun-2015 6:12:03 PM	

3. Click **Add Folder**

Folder Maintenance
Add Folder
Close

4. Use the institution's name as the folder name and select **Sub-Documents** as the Folder Parent.

Folder Maintenance
Add Folder
Save
Close

Parent Folder Attachments	<table> <tr> <th>Folder Name</th> <th>Folder Parent</th> <th>Folder Sequence</th> <th>Delete</th> </tr> <tr> <td>University of Utah</td> <td>Sub-Documents</td> <td></td> <td></td> </tr> </table>	Folder Name	Folder Parent	Folder Sequence	Delete	University of Utah	Sub-Documents		
Folder Name	Folder Parent	Folder Sequence	Delete						
University of Utah	Sub-Documents								

5. Save

Other Notes Regarding Attachments

- 1) No need to save copies of attachments if they already exist in the final, submitted proposal.
- 2) 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).

APPENDIX: eRA ATTACHMENT CONVENTIONS

Updated 10/19/17

Document	Tag	Category	Folder
Addition of Subaward [Subs] Documents submitted to sponsor to add subaward after award made	_AddSub (formerly: _SubAddition)	Supporting Documentation	Sub Documents
Additional Pay Form	_APF	Internal Form	Award
Approvals, non-specified	_Approval	Sponsor Approvals	Approvals
When.. University Counsel approves language in a contract	_ApprovalCounsel	Approvals	Approvals
When... Export Control approves language in a contract	_ApprovalExport	Approvals	Approvals
When... TTO approves language in a contract	_ApprovalTTO	Approvals	Approvals
At Risk Request Form	_AtRisk	Approvals	Approvals
When... award arrives as multiple files We cannot review just the one award document before signing, but must review all attachments as well	_Attach1, 2, 3	Supporting Documentation	Award
Notice of Award or award document	_Award	Core Documentation	Award
Bailment Agreement	_BA	Core Documentation	Root
Billing Instructions Separately received instructions from sponsor on how to bill (for SPA)	_BillingInstructions	Supporting Documentation	Award
Budget Justification	_BJUST	Core Documentation	Proposal
Revised Budget Justification Submitted to Sponsor Upload new version of existing document. See Proposal Files: New Version of Existing Documents for naming conventions.	_BJUST (saved as new version)	Supporting Documentation	Proposal or Award (depending on when collected)
Subcontract Official Budgets, including revisions and incremental funding This tag will begin with the Award #, followed by the Mod#. Docs will be saved in Xcel and PDF.	_Budget	Core Documentation	Sub Documents
Request/Approval for a deviation in the budget	_BudgetDeviation	Supporting Documentation	Award
Internal China Assurance form signed by PI	_CA	Internal Form	Proposal

Document	Tag	Category	Folder
Request/Approval to carry forward funds from one budget period to the next	_CarryForward	Supporting Documentation	Award
Approval to carry forward funds from one budget period to the next	_CarryFwdApp	Sponsor Approvals	Award
Request to carry forward funds from one budget period to the next	_CarryFwdReq	Supporting Documentation	Award
Confidentiality Disclosure/ Non-Disclosure Agreement [handled by TTO]	_CDA/NDA	Core Documentation	Root
Checklist [Subs]	_CK	Internal Form	Sub Documents
Closeout Documents Including Final Reports	_Closeout	Supporting Documentation	Reports
Confirmation of Submission	_CON	Supporting Documentation	Proposal
Request/Approval to add a consultant to a project	_ConsultantAddition	Sponsor/Internal Approvals	Award
Course Buyout Approval	_CourseBuyout	Approvals	Proposal
Cost/Price Analysis [Subs]	_CP	Internal Form	Sub Documents
Cooperative Research and Development Agreement [CRADA]	_CR	Core Documentation	Root
Contract Review Record – LASP only	_CRR	Internal Form	Award
Cost Share Form and documentation	_CSF	Internal Form	Proposal
Data Access Request Form	_DataAccess	Core Documentation	Root
Cost Accounting Standards Exceptions Form	_Date_CAS	Internal Form	Award
Notification of Proposal Denial	_DENIAL	Supporting Documentation	Proposal
Department Contact Change Per Project Fiscal Manager Change form	_DeptContactChg	Internal Form	Award
Data Transfer or Data Access Agreement	_DT	Core Documentation	Root
Request/Approval to reduce effort on a project	_EffortReduction	Sponsor Approvals	Approvals
Environmental Health and Safety	_EHS	Approvals	Approvals
Exceptions Letter	_EL	Supporting Documentation	Award
Correspondence, letters, email or other documents of note	_Email	Supporting Documentation	Proposal, Award, Sub Documents, Reports, Closeout, Approvals, Root
Emails	_Email1,2,3...	Supporting Documentation	Proposal, Award, Sub Documents,

Document	Tag	Category	Folder
Those 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.			Reports, Closeout, Approvals, Root
EPC Form used when code is not research	_EPC	Internal Form	Award
Request/Approval to Purchase Equipment	_Equipment	Sponsor/Internal Approvals	Approvals
Documentation of the currency exchange rate at time of proposal	_EXCHRATE	Supporting Documentation	Proposal or Award
Foreign Exchange Risk Acceptance Form	_EXCHRISK	Supporting Documentation	Proposal or Award
Export Control Documents	_Export	Approvals	Approvals
Federal Demonstration Partnership Forms	_FDP	Supporting Documentation	Proposal or Award
FFATA Attachment 3A/3B form, when Submitted separately from the proposal	_FFATA	Supporting Documentation	Proposal or Award
Budget	_FINBudget	Budget	Proposal or Award
Revised Budget Submitted to Sponsor Upload new version of existing document. See Proposal Files: New Version of Existing Documents for naming conventions.	_FINBudget (saved as new version)	Budget	Proposal or Award
Solicitation or Funding Opportunity Announcement	_FOA	Core Documentation	Proposal
Facilities Use Agreement	_FU	Core Documentation	Root
Request/Approval to transfer funds between accounts	_FundsTransfer	Approvals/Form (use Form if a form is used)	Award
Inter-campus Agreement/MOU	_IA	Supporting Documentation	Root
Animal Care and Use Documents	_IACUC	Approvals	Approvals
rDNA or any other bio-safety documents	_IBC	Approvals	Approvals
ICR Split Agreement	_ICRSplit	Approvals	Approvals
IDC Addendum	_IDCAddendum	Internal Form	Approvals
Standing IDC MOUs	_IDCMOU	Approvals	Approvals
Indirect Cost Rate Agreement [Subs]	_IDCRA	Supporting Documentation	Sub Documents

Document	Tag	Category	Folder
IDC Waiver and documentation	_IDCWaiver	Internal Form	Approvals
Agreement and Mod # [Subs]	_Institution_Mod# (Mod00, Mod01, etc.)	Core Documentation	Sub Documents
Subrecipient Letter of Commitment (FDP Expanded Clearinghouse Pilot)	_Institution_SubLOC	Supporting Documentation	Sub Documents
Intergovernmental Personnel Agreement includes Interagency Agreement	_IPA	Core Documentation	Award
Joint Appointment Agreement	_JAA	Core Documentation	Root
Just In Time Report or other documents requested by sponsor after submission, but prior to award – does not include revised documents	_JIT	Supporting Documentation	Proposal
License Agreement includes Lease Agreement	_LA	Core Documentation	Root
Master Agreement includes Master Task Order Agreements & BOAs	_MA	Core Documentation	Root
Material Transfer Agreement	_MTA	Core Documentation	Root
No Cost Extension (Generic) Use more specific tag when applicable	_NCE	Core Documentation	Award
No Cost Extension Approval	_NCEApproval	Core Documentation	Award
No Cost Extension Request	_NCERequest	Supporting Documentation	Award
Non-Disclosure Agreement	_NDA	Core Documentation	Proposal, Award or Root
NIH Fellowship Assurance Form Past Use: NIH certification document from Filemaker	_NIH	Supporting Documentation	Proposal
Non-Specified AWO (e.g. 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)	_Non-monetary	Core Documentation	Root
Organizational Prior Approval	_OPAS	Internal Form	Approvals
Request/Approval to change UCB organization number (email from SPA)	_ORGChg	Supporting Documentation	Approvals
Petty Cash/Change Fund Request	_PettyCashRequest _ChangeFundRequest	Supporting Documentation	Award

Document	Tag	Category	Folder
Primary Fiscal Manager (PFM) Change See also Department Contact Change	_PFMChange	Supporting Documentation	Award
Principal Investigator Approval Chair approval for ineligible personnel to be PI	_PIApproval	Approvals	Approvals
Request/Approval to change PI	_PIChange	Sponsor Approvals	Approvals
Communication re: PI Transfer in from another institution	_PITransferIn	Supporting Documentation	Proposal
Purchase Order and mod# (e.g. PO00, PO01, PO02)	_PO#	Core Documentation	Award, Sub Documents
Progress Report Subsequent reports would be PR1, PR2, etc.	_PR	Report	Reports
Proposal file submitted to the sponsor May include: SOW, Budget, Justification, LOC, Grants.gov or Fastlane package, etc.)	_Proposal	Core Documentation	Proposal
Revised Proposal Upload new version of existing document. See Proposal Files: New Version of Existing Documents for naming conventions.	_Proposal (saved as new version)	Core Documentation	Proposal
Proposal Submission Request and Supplemental PSR Form	_PSR	Core Documentation	Proposal
Request/Approval to transfer funds out of the Participant Support Category	_PSupportTransfer	Sponsor Approvals	Approvals
Award transfer to another institution	_Relinquishment	Supporting Documentation	Award
Reports (Not Final Reports—see Closeout)	_Report	Report	Reports
Deliverable (Not Final Reports - see Closeout) If deliverable has not been created, use PR1, with the number corresponding to year of project	_Report type as named by sponsor _Due Date	Report	Reports
Representations and Certifications	_REPS	Supporting Documentation	Proposal or Award
System of Award Management [Subs]	_SAM	Supporting Documentation	Sub Documents
Invoice template for SPA provided by sponsor	_SampleInvoice	Supporting Documentation	Award
Subrecipient Commitment Form	_SCF	Supporting Documentation or Internal Form	Proposal, Award or Sub Documents
Sub Documents Contract Review Record [Subs]	_SCRR	Internal Form	Sub Documents
Sponsor Formatted Budget. Used when a sponsor (like DOE or DOD)	_SFB	Supporting Documentation	Proposal

Document	Tag	Category	Folder
requires a multiple worksheet budget be submitted in Excel format or when an R&R Budget form is submitted separately from a Grants.gov package. (Revisions should be uploaded. See Proposal Files: New Version of Existing Documents for naming conventions.)			
Request/Approval to change Statement of work – Post-award only	_SOWChange	Sponsor Approvals	Approvals
Subcontract Proposal [Subs] Incl. SOW, Budget, Budget Justification	_SP	Supporting Documentation	Sub Documents
Special Conditions Justification Form	_SpC	Internal Form	Proposal
Special Instructions Separately received instructions from sponsor	_SpecialInstructions	Supporting Documentation	Award
Marked up SPO [Subs]	_SPO#	Supporting Documentation	Sub Documents
Documentation of sponsor approval when a formal mod is not issued	_SponApproval	Sponsor Approvals	Approvals
Policy Manuals Separately received policy “manuals” from sponsor	_SponsorPolicies	Supporting Documentation	Award
Documentation of sponsor request when a formal mod is not issued	_SpReq	Supporting Documentation	Award
Sub Documents Review Form [Subs]	_SRR	Internal Form	Sub Documents
Sub Documents Small Business Subcontracting Plan [Subs]	_SSBP	Approvals	Sub Documents
Sole Source Justification [Subs]	_SSJ (formerly: <i>_SoleSource</i>)	Internal Form	Sub Documents
Allocation of Rights Agreement	_STTR/SBIR	Core Documentation	Root
Risk Analysis [Subs]	_Sub Name_RA	Supporting Documentation	Sub Documents
Subcontract proposal budget Save in Excel format	_SubBudget	Budget	Proposal
Teaming Agreement (includes Technical Assistance Agreement TA)	_TA	Core Documentation	Root
Request/Approval to add travel	_Travel	Sponsor/Approvals	Approvals
Non-Allowable Tuition Arrangements	_Tuition	Approvals	Approvals
Visiting Scientist Agreement	_VS	Core Documentation	Root
Notification of Proposal Withdrawal	_Withdraw	Supporting Documentation	Proposal

Retired Tags *** Do Not Use ***

Document	Tag	Category	Folder
Proposed or Awarded Budget in internal format, no PS acct codes (Excel format)	_Budget	Budget	Proposal or Award
Revised Budget submitted to sponsor Each additional revision saved as next sequential # (e.g. first revision is named _Budget1, next revision is _Budget2)	_Budget1	Budget	Proposal or Award
Revised Budget Justification Each additional revision saved as next sequential # (e.g. first revision is named _BudgetJustification1, next revision is _Budget2)	_BudgetJustification1	Supporting Documentation	Proposal or Award
Conflict of interest documents, including financial conflict documents This tag is only for converted records pre-PSR forms.	_DEPA	Internal Form	Proposal
Human Subject Approval Protocol # should be linked to proposal via Approvals folder (not attached)	_IRB	Approvals	Approvals
Revised Justification Each additional revision saved as next sequential # (e.g. first revision is named _J1, next revision is _J2)	_J1	Supporting Documentation	Proposal or Award
Principal Investigator Approval – chair approval for ineligible personnel to be PI	_PI	Approvals	Approvals
Revised Proposal Each additional revision saved as next sequential # (e.g. first revision is named _Proposal1, next revision is _Proposal2)	_Proposal1	Core Documentation	Proposal
Routing sheet or similar document. For converted records only.	_Routing	Internal Form	Award
Transmittal	_TRAN	Supporting Documentation	Proposal or Award

DOCUMENT HISTORY

Description	Updated
Extracted from Post-Award BP doc.	11 Apr 2016
At-Risk file naming conventions added to p.5	26 Jul 2016
Proposal attachments process for versioning added and tags for proposal related documents updated. Retired tags moved to retired tags section. (AVD)	19 Oct 2017
Updated pg. 2-6 (CD) and reformatted table	17 Nov 2017