**FILING PROCEDURES**

*Draft update 8/12/16*

**OPEN AGENCY FILING** – *Program Assistant*

The Open Agency files are located in the Program File Room on the second floor of the Lion House. They are filed alphabetically by organizational name.

Open Agency files include:

* Pending requests
* Preliminary requests
* Approved grants awaiting first payment
* Declinations awaiting their official notification

Any files removed by Program Officers for review are returned to the “to be filed” tray on top of the cabinets. The Program Assistant is responsible for filing on a daily basis.

**MOVING FILES FROM OPEN TO CLOSED AGENCY**

**DECLINATION FILES**

*Senior Program Assistant; Clerical Assistant*

* After the Board meeting, the Senior Program Assistant files a copy of the letter of declination, placing it as the top item in the corresponding file, with the proposal beneath, removing these files from the open agency files. [ANY PURGING?]
* The Senior Program Assistant will write "Dec" and the date of the board meeting on each request turned down.

*Senior Program Assistant; Clerical Assistant*

* If the Senior Program Assistant marked an “X” on the bottom right corner of the file label (indicating no hanging file has been prepared for this organization) the folder is given to the Clerical Assistant to prepare a hanging file label for the folder. The Clerical Assistant retunrs the hanging files to the Senior Program Assistant.

*Senior Program Assistant; Office Assistant*

* The Senior Program Assistant the declination files to the Office Assistant, who will file them in the closed agency files.

**GRANT FILES** – *Grants Administrator; Office Assistant*

* When the first payment is made, the Grants Administrator places the check transmittal letter in the grant’s file folder and removes the folder from the open agency files. She then purges it of extraneous material. The folder is transferred to the Closed Agency file inbox located on the Lion House Garden Level to be filed by the Office Assistant.
* Files for different types of grants require different documentation, but in each case, the Grants Administrator will verify that all papers in the folder relate to the same grant and use the same ID number. Before being sent to the closed agency files, each grant file should contain the following items, in this order -- top to bottom:

**REGULAR GRANTS** [VERIFY THIS LIST TO DELOITTE’S REVIEW]

*Grants Administrator*

* Check transmittal letter
* Grant agreement signed by both parties (extra, unsigned copies should be discarded)
* “Thank you” or other correspondence enclosed with the signed agreement
* Award letter
* IRS Compliance Checklist
* Program Staff Checklist

*[WHO?]*

* GPR form, or discussion sheet from board meeting
* Proposal: Go through and organize into original form as closely as possible. Place additional correspondence received during review of proposal in chronological order, with most recent correspondence at top of proposal section; duplicate copies should be discarded.
* Place tax returns and financial statements [AND BUDGETS?] on top of the folder contents.
* [MISCELLANEOUS?]

**BRADLEY FELLOWSHIP FILES** – *Grants Administrator -* [NEEDS REWRITE BY RK PER CF]

* All Bradley Fellow files are kept in the top drawer of the lateral file cabinet in the Grant Administrator’s office until archived. Bradley Fellow grants are filed alphabetically by institution name. Within that hanging file folder, each professor has their own manila file folder. In the manila file, each of the professor’s grants are separated by a yellow sheet of paper that lists the organization name, professor name, grant ID#, grant amount, grant date, department and academic term. Following behind each yellow sheet are the Foundation’s invitation letter, the grantee's letter requesting funds, the Foundation’s award letter countersigned by the grantee organization, cover letters for checks, reports, and extensions. These are kept chronologically with most recent on top.

**DONOR INTENT FILES** – *Grants Administrator*

[THIS SECTION OBSOLETE]

* Donor intent grantmaking is now handled by the Bradley Impact Fund. Prior Bradley donor intent files are located on the Lion House Garden Level. Blue folders are used and kept alphabetically by year. The same file labeling convention is used as regular grants and they are archived in the same manner as regular grants.

**GCC/DIRECTED OR PRIZES SELECTOR GRANT FILES** – *Grants Administrator*

* The files for these grants are kept in the Grant Administrator’s bottom left desk drawer until paid, purged and sent to the closed agency files. Each folder contains the following information, in this order (top to bottom):

1. Check transmittal letter
2. Signed GCC or BPS form
3. For GCCs, a note from director or staff requesting funds
4. Copy of charity check report

Update list above for Deloitte and F&L review

What about Foreign Grants/expenditure accounting

What about Bradley Prizes – archive W-9, letter, press releases (in lieu of GPR)

**MAINTAINING CLOSED AGENCY FILES** – *Office Assistant*

The closed agency files are comprised of paid grants and declinations. When ~~additional correspondence~~ subsequent grant payment letters or report letters relating to one of these grants is received, the Grants Administrator identifies the grant or declination number and writes it on the correspondence, placing it in the closed agency file area to be filed by the Office Assistant.

* Occasionally, the Foundation must obtain pertinent information regarding the exact use of funds given to a grantee – Grantee Expenditure Accounting Report. This report includes a copy of a single page form stamped “Exp Acctg Report, DO NOT REMOVE FROM FILE” and any backup information sent by the grantee. NO LONGER CORRECT PER CF
* When the grantee reports on the progress on the grant, the report and “thanks-for-report” letter should be placed in the folder at the front of the grant file.
* Annual reports are not kept unless directed otherwise by the program officer. If kept when are they purged?
* Alphabetically arranged, each organization has its own hanging folder, which contains the grant file folders in chronological order with the most recent grant in front. The Misc. Correspondence folder and/or the annual report (?) should be the first item in the organization’s hanging folder.
* Large institutions may be broken up into multiple hanging folders by institution, department or division names within the organization.
* When informed of an organization’s name change, the Grants Administrator makes the change in Gifts by placing the former name in the f/k/a field of the organization, and replaces the old name with the new name in the Organization and Legal name fields. If new tax information is received using the new name, the Grants Administrator will update the database accordingly, scan and save to file, and the determination letter should be filed as usual. The Office Assistant will then: (1) create a hanging folder label for the New Org’s Name; (2) create a hanging folder label See “New Org’s Name” to place on the Old Org’s hanging file; and (3) move the files contained in the Old Org’s folder to the New Org’s file. There is no need to change names on each grant’s file folder label.
* If the Office Assistant is unable to determine where to file something, she should check with the ~~Grants Administrator~~ Senior Program Assistant to review and determine placement. If a grant folder has been archived, the item may need to be scanned [BY WHO?] and saved (creating the file name to include the grant ID# plus a hint of the contents and date) to the J:\Gifts\Documents\Scanned\Reports folder and attached to the record in Gifts.

[MISSING – FILE LABEL SET UP]

[FILING PROCEDURES MISSING FOR OOM]

**PURGING CLOSED AGENCY FILES**

**OUT-OF-MANDATE** – *Grants Administrator; Clerical Assistant; Senior Program Assistant*

Out-of-mandate declinations are proposals immediately turned down by the Vice President for Program without being presented to the Board because they do not fall within the Foundation’s mandate or current areas of interest. These files are kept for one year and then discarded. The Grants Administrator runs a monthly list of out-of-mandate files from the Gifts database to be pulled for the Office Assistant. The Office Assistant pulls these files and places them in a cart for review and approval to shred. The Senior Program Assistant will review the list and files pulled for shredding. The Senior Program Assistant will note approval to shred and initial and date the list. The list will be kept for one year. The Office Assistant will then shred the files. If there are out-of-mandate files that the Vice President for Program does not want to shred, those files will be kept longer as directed. [KEPT ON A LIST/WHERE?]

**DECLINATIONS** - *Grants Administrator; Clerical Assistant; Senior Program Assistant*

Requests declined at a Board meeting are kept in the closed agency files located on the Lower Level of the Lion House for two years from the Board date and then shredded. The Grants Administrator runs a monthly list of declination files from the Gifts database to be pulled for the Office Assistant. The Office Assistant pulls these files and places them in a cart for review and approval to shred. The Senior Program Assistant will review the list and files pulled for shredding. The Senior Program Assistant will note approval to shred and initial and date the list. This list will be kept \_\_\_\_\_\_\_\_\_\_\_\_\_. The Office Assistant will then shred the designated files.

**ARCHIVING**

**GRANT FILES** - *Grants Administrator; Office Assistant; Librarian; Vice President for Program*

After purging [WHEN?], a grant file is kept for five years in the closed agency files located on the Lower Level of the Lion House. Annually [JANAURY?], a list is run by the Grants Administrator from the Gifts database selecting the grants for the five years prior to the current year (i.e. 2015 – 5 = 2010) to be archived. The files are removed from the filing cabinets by the Office Assistant who places them into boxes for the Foundation’s Librarian. The Librarian reviews and prepares the files [DESCRIBE HOW/WHAT] prior to sending them to Iron Mountain to be scanned to a CD-ROM. When the CDs are received back from Iron Mountain, they are given to the technology consultant for placement on the network on PapverVision. The Librarian then performs quality control to ensure that all pages have been scanned correctly and all record entries are properly recorded. This process can include sending file materials back to Iron Mountain to be re-scanned, with corrected CDs sent back and placed onto the network. Staff with access to the PaperVision software can view and print any of the pages contained in the files. The original paper files are boxed and stored offsite at Iron Mountain for an additional five years. Ten years after [HOW DECIDED? ADD RECORD RETENTION RULES] the creation of the file the Grants Administrator will run a list of files to be destroyed. The list will be presented to the Vice President for Program for approval. The files will then be retrieved from offsite storage. The Office Assistant will empty the file folder contents into the shredding bins at the Lion House and then make the empty folders available for reuse.

**BOARD AND COMMITTEE AGENDA BOOKS** – [ELIMINATE? ALREADY ON NETWORK]

A “Library Copy” for all agenda books is kept in the shelving units next to the closed agency grant files, including Board of Directors, IRA Committee, Legacy Committee, Ideas and Institutions, and Implementation and Impact. After the shelving space fills up the oldest books are dismantled and shredded by the Librarian to make space for newer books.

A “File Copy” is kept on file for all agenda books for five years in the shelving units next to the closed agency grant files. Every year the previous year’s file copies are reviewed and prepared for archiving by the Librarian. The Librarian reviews and prepares the books prior to sending them to Iron Mountain to be scanned to a CD-ROM. When the CDs are received back from Iron Mountain, they are given to the technology consultant for placement on the network on PapverVision. The Librarian then performs quality control to ensure that all pages have been scanned correctly and all record entries are properly recorded. This process can include sending file materials back to Iron Mountain to be re-scanned, with corrected CDs sent back and placed onto the network. Staff with access to the PaperVision software can view and print any of the pages contained in the files. After being archived the File Copy of the agenda books are returned to the shelving units. After the shelving space fills up the oldest books are dismantled and shredded by the Librarian to make space for newer books.