**FILING PROCEDURES**

January 26, 2012

**OPEN AGENCY FILING**

* All pending requests, preliminary requests, approved grants awaiting first payment, or declinations awaiting their official notification are located in the Open Agency cabinets in the File Room on the second floor of the Lion House, and maintained by the Program Assistant. They are filed alphabetically by organizational name.
* Occasionally, a file is labeled under the contact's last name or another organization name until final determination on what organization will receive and administer the funds is made, in which case a new label is made and the Gifts entry is changed to the new organization.

**MOVING FILES FROM OPEN TO CLOSED AGENCY AREAS**

**DECLINATION FILES**

* After the Board meeting, the 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.
* Using red pen, she will write "Dec" and the date of meeting on each request turned down.
* If the file label has an “X” on the bottom right corner (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 folders without the “X” are given to the Office Assistant, who will file them in the closed agency files.

**GRANT FILES**

* 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 pertinent materials (see below) are clipped together in the file folder using fasteners that hold two-hole top punched paper. The folder is transferred to the Closed Agency files located in the Lion House File Room to be filed by the Office Assistant.
* Files for different types of grants require different documentation, but in each case, verify 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, attached to the folder with clips at the top:

**REGULAR GRANTS**

* "Enclosed is your check" letter
* Grant agreement signed by both parties (extra, unsigned copies may be discarded)
* “Thank you” or other correspondence enclosed with the signed agreement
* Award letter
* Yellow checklist with Charity Check report attached
* GPR form, or discussion sheet from Board Meeting
* Proposal: Go through it 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, financial statements, annual reports, newsletters, etc. on top of the clipped contents of the folder.

**BRADLEY FELLOWSHIP FILES**

* 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 his/her 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

**BRADLEY PRIZES**

* The Bradley Prizes files are kept in the second drawer of the lateral file cabinet in the Grant Administrator’s office. The active year is filed alphabetically by nominee’s last name, with nominator and selector information, press, form samples etc. in their own file. Completed years each have their own hanging file containing manila folders for topics as needed, plus each winner’s file. See files.

**DONOR INTENT FILES**

* These files, generally processed only once a year, are kept in the lateral file cabinet in the Grants Administrator’s office. 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 BP SELECTOR GRANT FILES**

* 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 file room. Each folder contains the following information, in this order (top to bottom):

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

**MAINTAINING CLOSED AGENCY FILES**

The closed agency files are comprised of paid grants and declinations. When additional correspondence 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.

* If the item to be filed refers to approval of a grant end date extension, changes in budget or other legal details, she will two-hole punch the paper at the top. This indicates to the Office Assistant that it needs to be clipped into the file folder.
* 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. It needs to be two-hole punched so the report can be bound within the folder’s clips.
* Financial statements, tax returns, and other related material sent in with the proposal (brochures, photos, manuscripts, annual reports) are kept loosely on top of clipped items in the specific grant folder.
* When the grantee reports on the progress on the grant, the report and “thanks-for-report” letter should be placed loose in the folder at the front of the grant file.
* A manuscript should be saved until the book is received, at which time the manuscript may be disposed of by placing it in the shredding bin.
* Items relating to the organization, but not necessarily the specific grant, are placed in the organization’s “Misc. Correspondence” file. Misc. Correspondence should be kept for a period of one year.
* Misc. Correspondence can include general policy reports, general correspondence, invitations, annual reports, press releases, conferences, speaking tours, newspaper clippings, tax returns, audited financial statements, but only if not related to a specific grant. If a conference was funded, then the invitation and program do go into the specific grant file according to the grant’s ID number.
* Annual reports of small institutions (receiving less than $100K from Bradley in one year) are discarded after one year if an updated issue comes in. If multiple copies arrive, retain one for small institutions, two for large institutions. Annual reports of large institutions (receiving $100K or more in grants from Bradley per year) should be kept five years, with the current report in the grant file and prior years given to the Librarian for the library.
* 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. Any declination files should be in front of the grant folders, and the Misc. Correspondence folder and/or the Annual Report folder should be the first item in the organization’s hanging folder.
* Be aware that 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, make the change in Gifts by placing the former name in the a/k/a field of the organization, and replace the old name with the new name in the Organization and Legal name fields. If new tax information is received using the new name, update the database accordingly, scan and save to file, file the determination letter as usual. Then ask the Office Assistant to: (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; (3) Move the files contained in the Old Org’s folder to the New Org’s file; no need to change names on each grant’s file folder label.
* When the Office Assistant is unable to find where to file something, she places it in the “unable to find” tray for the Grants Administrator to review and determine placement. If a grant folder has been archived, the item may need to be scanned 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.