Carnegie Mellon University
Sponsored Projects Accounting
(PA15) File Maintenance – Procedures
Updated: March 27, 2006

Frequency: As needed
Responsible Staff: Sponsored Projects Accountant
Approval Required: None

Summary:
Documentation and file maintenance is an important component of managing sponsored awards. The award files are created after the award is set up and are the official post award administrative record of the project. The following is provided to assist post award accountants to organize the numerous documents.

Procedure:
1. SPA Accountant creates up to three file folders for each award once the award number is set up in Oracle:
   - Award document folder
   - Subcontract folder, if needed
   - Invoice (or voucher) folder, if needed

   Each folder label should include the following information:
   - Award Number
   - Project Number
   - Sponsor Name
   - Sponsor Agreement Number
   - Department Name
   - Last Name of Principal Investigator

2. The Award Document and Subcontract files are located in the SPA Accountant’s work area and are arranged in numerical order within each Department. The Invoice files are located in the Cash Management Accountant’s work area and are arranged in numerical order by Funding Source.

3. The Award Document file should contain the following documents:
   - Executed Agreement
   - Award Budget that ties to the awarded amount
   - Copy of proposal or the key sections of proposal applicable to Post Award issues
   - Copy of Prime Award Agreement if the award is a Subcontract to CMU
   - Any and all related amendments / modifications
   - Copies of relevant email correspondence, PO approvals, and cost transfers

4. The invoice file should contain the following documents:
   - Copies of invoices submitted to sponsor
   - Collection effort
   - Copies of checks or payment records
   - Copies of the key sections of the award document related to invoicing