

# Appendix O: Organization of the Official Grant File Folder

ED uses a six-part file folder in which program staff must create and maintain an official file for each application selected for funding. Documents are filed in chronological order with the oldest document on the bottom and the most recent document on top.

**Figure O-1. Organization of Official Grant File Folder**

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| <p><b>Section 1 – Inside of front cover</b></p> <p>Financial reports or copies of documents generated in GAPS related to closed discretionary grants</p> <p>Final Performance Report</p> <p>Final Evaluation Report</p> <p>Final Financial Status Report (SF 269 or SF 269A)</p> <p>Closeout Checklist and other closeout-related correspondence</p>  | <p><b>Section 2 – Front of first divider</b></p> <p>Grant Award Notification with attached terms, conditions, and cooperative agreements</p>  |
| <p><b>Section 3 – Back of first divider</b></p> <p>Site visit reports</p> <p>Recipient audit reports</p> <p>Annual Financial Status (SF 269 or SF 269A) or other annual financial status reports</p> <p>Annual or interim performance reports, including post-award Institutional Review Board certifications</p> <p>Annual evaluation reports</p> <p>Credit reports</p>  | <p><b>Section 4 – Front of second divider</b></p> <p>Correspondence (from recipients, Congress, etc.), ED responses and administrative actions</p> <p>Memoranda (to the file or from the program office, Budget Service, Office of the General Counsel, Office of Inspector General, etc.)</p> <p>Copies of contracts entered into by recipient (research, evaluation)</p> <p>Telephone contacts, electronic communications via e-mail, etc., during the performance of a grant</p>   |
| <p><b>Section 5 – Back of second divider</b></p> <p>Grant application reviewer comments and review forms</p> <p>Program staff evaluations and (if applicable) technical review summary</p> <p>Documentation of all pre-award contact with applicant including clarification calls prior to award of the grant</p> <p>Cooperative agreement drafts</p> <p>Funding documentation or budgets and financial information generated in GAPS to support GANs</p> | <p><b>Section 6 – Inside of back cover</b></p> <p>Applications – original signature copy of all required information (budget, assurances, certifications, GEPA requirements, etc.)</p> <p>Pre-award documents for the protection of human subjects in research, i.e., assurances and institutional review board certifications, and related correspondence/documents</p> <p>Clarifications or revisions to budget and scope of work provided by the grantee</p> <p>Performance agreement developed at performance conferences</p> |

**Note:** The order in which documents are listed in this guide will not necessarily be the order in which the documents are filed. Not all documents will necessarily appear in all grant folders; one or more documents might not be included due to varying requirements in different programs or continuous improvements to the discretionary grant process.