# Establishing and Maintaining a Work File

During the period of performance of a grant, the Grant Officer Technical Representative (or GOTR) has overall responsibility for effectively managing the grant. The GOTR needs to have accurate and current information on all grant activities on both the government and grantee sides.

To do this, the GOTR establishes a Work File after the grant has been awarded. A Work File contains all necessary documentation to effectively monitor and manage a grant in accordance with federal procedures and regulations. This video will show how the GOTR establishes and maintains a Work File.
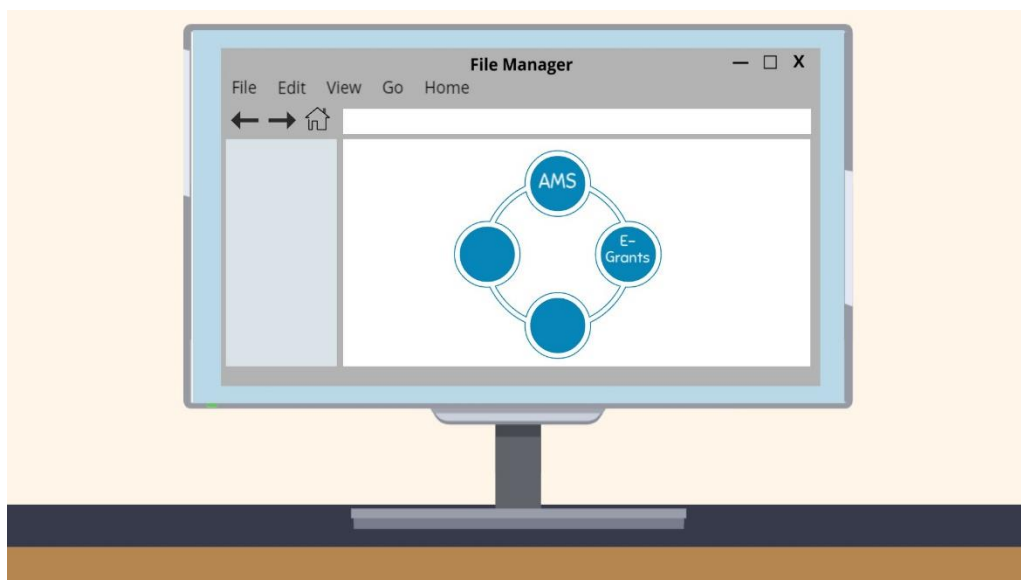
Different E-Systems contain various components of a Work File:

- Acquisition Management System (or AMS) which handles requisitions and modifications.

- E-Grants which is the "official" grant file and covers the requisition, manages the solicitation announcements and panel review process, and manages the award during the period of performance and closeout process. It also documents the quarterly Standard Form 425, the Federal Financial Report (or FFR), and
- VETS 700 Workbook which is the Excel workbook that captures quarterly performance and financial reporting.
- Health and Human Services, Payment Management System (or PMS) which is the system the grantee accesses and uses to document the withdrawal of their funds.

If properly maintained, these systems together become the GOTR Grant Work File.


The Work File consists of 5 file sections:

- The Administrative Materials section which includes grantee contact information and organizational charts.
- The Grant Agreement and Modifications section which contains the Grant Agreement, modifications, financial statements, and risk assessments.
- The Monitoring Activities section which provides a written record of how the work is progressing and whether the grantee is complying with the terms of the grant. This includes financial reports, progress and performance reports, site visit reports, and other documentation.
- The Correspondence section which provides all written communication between the DOL Employment and Training Administration and the grantee, and
- Finally, a Miscellaneous section which consists of any other documentation not associated with other sections, such as insurance coverage or audit reports.

This information is subject to Freedom of Information Act requests and therefore should be an accurate representation of the progress and actions taken by the grantee, and decisions and actions of federal

staff. These documents are all likely to be in electronic form and should be properly labeled and organized by grantee and grant number.
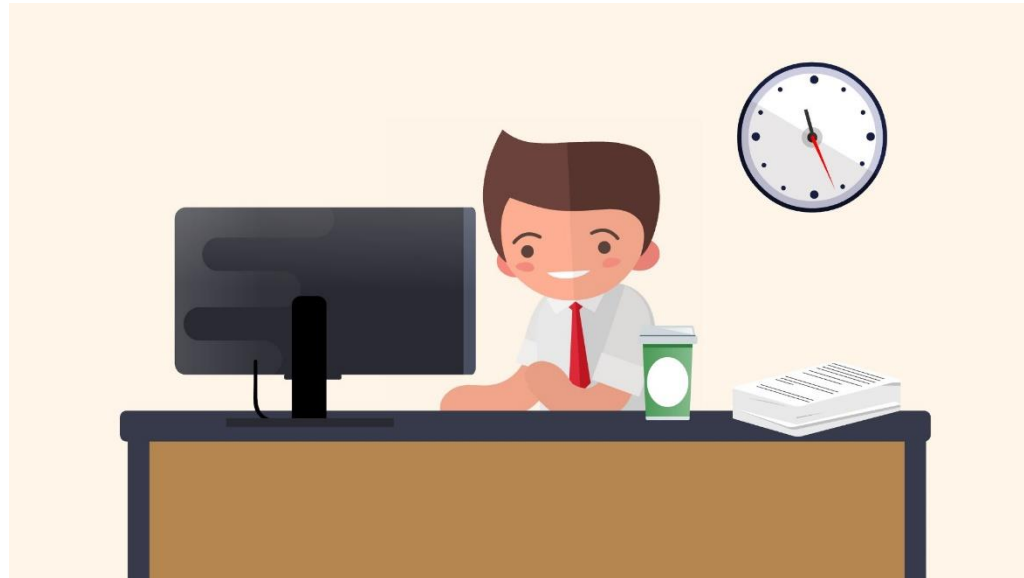
By establishing and maintaining an up-to-date and active Work File, the GOTR can respond appropriately and in a timely manner to any issues that arise over the course of the grant. The GOTR is also be able to detect performance or budget problems early enough to prevent a serious situation from occurring and facilitates the transfer of responsibility should the GOTR leave or change.

This video, Establishing and Maintaining a Work File, was brought you by the National Veterans' Training Institute.