



# United States Department of the Interior

BUREAU OF INDIAN AFFAIRS

Washington, D.C. 20240

## National Policy Memorandum

### Office of Indian Services Division of Self Determination

**Number:** NPM-SELFD-2

**Effective:** 4/25/19

**Expires:** 4/25/20

**Title:** Indian Self-Determination Education Assistance Act (ISDEAA) Contract File Location, Organization, and Retention Policy

#### 1. Purpose

The purpose of this policy is to ensure that Bureau of Indian Affairs (BIA) Self-Determination personnel comply with the contract/grant file location, organization, and retention requirements.

BIA personnel must maintain contract/grant files in an organized and standardized manner to ensure documentation is consistent and files are easily tracked and located.

#### 2. Scope

This policy applies to all BIA Self-Determination personnel handling Self-Determination contracts and grants as authorized by P.L. 93-638, ISDEAA, as amended.

#### 3. Policy and Procedure

All Self-Determination contract/grant files will be maintained in a central location, with an appropriate nomenclature and numbering system pursuant to Indian Affairs recordkeeping requirements. Only those contract/grant files that are currently being worked on can be held in the workspace of the assigned employee, but must be stored in a secure, locked location at the end of each work day. Once an employee no longer has a need to work on the contract/grant file, it must be returned to a central contract/grant file location within the appropriate office.

Each contract and/or grant file must be assembled in the required Six Part Classification (straight cut) File Folder structure (see Attachment 1). The mandatory format will ensure conformity on a nationwide basis.

Self-Determination program personnel and officials (Awarding Officials and Awarding Officials Technical Representatives) must adhere to the rules and regulations governing self-

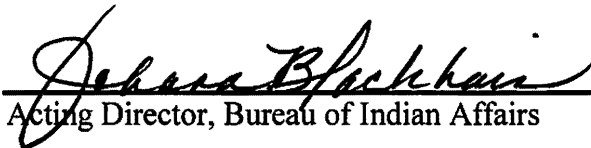
determination services in BIA, specifically:

- P.L.93-638, as amended
- 25 CFR 900, Contracts Under the Indian Self-Determination and Education Assistance Act
- 13 IAM Parts 1-7

#### 4. Roles and Responsibilities

- Deputy Bureau Director, Office of Indian Services** is responsible for the policy and oversight of the BIA Division of Self-Determination and its related services.
- Chief, Division of Self-Determination** is responsible for the policy and oversight of the Division of Self-Determination and ensures the policy is being followed by completing program reviews.
- All Self-Determination personnel (Central, Regional, and Agency offices)** are responsible for assembling complete contract/grant files using the prescribed nomenclature and other guidance provided herein; maintaining and adequately securing working files; and transferring completed contract/grant files to a pre-determined filing location within the office.
- Regional Directors, Superintendents, and Line Officers** are responsible for ensuring this policy is adhered to by staff under their administrative authority.

#### 5. Approval

  
Acting Director, Bureau of Indian Affairs

APR 25 2019

Date

**Attachment 1**

<b>1-A</b>	<b>Tab Title: Pre-Contract/Negotiation Phase/Award Phase</b>
<b>1A</b>	Tribe/Tribal Organization's Proposal(s) (25 CFR Parts 900.8, 900.12 & 900.125)
<b>2A</b>	Tribal Resolution(s)
<b>3A</b>	ISDEAA Contract Proposal Checklist
<b>4A</b>	Secretary's Two (2) Day Acknowledgment Letter
<b>5A</b>	AOTR/SAOTR(s) Designation Memorandums - (Including copies of valid Certifications)
<b>6A</b>	Management Systems (meets minimum requirements of 25 CFR Part 900 Subpart F) <input type="checkbox"/> Financial <input type="checkbox"/> Procurement <input type="checkbox"/> Property
<b>7A</b>	Secretary's Declination Letter ( <i>if applicable</i> )
<b>8A</b>	Secretary's Award Letter - (Signed by the Approving Official)
<b>9A</b>	Contract Support Cost Calculation Spreadsheet (which includes Type of Rate 100% IDC-DCSC Needs/Pass Through-Exclusions/Lump Sum Neg.) ( <i>if applicable</i> )
<b>10A</b>	SAM - System for Award Management - Verified, Printed and Filed

**Attachment 1 (continued)**

<b>2-B</b>	<b>Tab Title: Post Award Phase - Correspondence</b>
<b>1B</b>	Tribe/Tribal Organization Formal request(s) to modify contract
<b>2B</b>	Secretary's Correspondence to Tribe/Tribal Organization
<b>3B</b>	Optional Year Modification Source Documentation; Annual Budgets;
	CSC Calculation Forms; IDC Rate Agreements; SAM Verification; etc.
<b>4B</b>	Secretary's Contract Modification Cover Letters

**Attachment 1 (continued)**

<b>3-C</b>	<b>Tab Title: Purchase Requests' - Fund Availability Certifications</b>
<b>1C</b>	Purchase Requisition w/supporting documents
<b>2C</b>	Fund Availability Reports/FED's

**Attachment 1 (continued)**

<b>4-D</b>	<b>Tab Title: Reporting/Monitoring</b>			
<b>1D</b>	SF-425 Financial Reports:			
		Due Date	Date Received	
	Year 1	1st Quarter		
		2nd Quarter		
		3rd Quarter		
		4th Quarter		
	Year 2	1st Quarter		
		2nd Quarter		
		3rd Quarter		
		4th Quarter		
	Year 3	1st Quarter		
		2nd Quarter		
		3rd Quarter		
		4th Quarter		
<b>2D</b>	Annual Narratives:                      FY _____ to _____			
		Due Date	Date Received	
	Year	One		
		Two		
		Three		
<b>3D</b>	Special Reports Negotiated <i>(if applicable)</i> , and their frequency			
<b>4D</b>	Site Visits:			
		Date		
	Year	One		
		Two		
		Three		
<b>5D</b>	Monitoring Plan(s) from AOTR/SAOTR(s)			

**Attachment 1 (continued)**

	Electronic Reporting Requirements <i>(if applicable)</i>		
<b>6D</b>			Date
	Year	One	
		Two	
		Three	

**Attachment 1 (continued)**

<b>5-E</b>	<b>Tab Title: Contract Close-Out</b>
	<b><i>ISDEAA Non-Construction</i></b>
<b>E1</b>	Final Financial Status Report (SF-425)
<b>E2</b>	Final Contract Financial Reconciliation: Verify obligations and advance payments in FBMS match payment disbursements and contract amount.
<b>E3</b>	Disposition of Property
<b>E4</b>	Release of Claims Form - DI-137 (Rev. March 2017)
<b>E5</b>	AOTR/SAOTR recommendation to Close Contract
<b>E6</b>	ISDEAA Contract/Grant Closeout Checklist
<b>E7</b>	System generated close out screen identifying contract closed.
	<b><i>ISDEAA Construction (Subpart J)</i></b>
<b>E8</b>	Final Contract Financial Reconciliation: Obligation and Mods less expenditures, Advance Payments less expenditures, and adjustments to payments if necessary
<b>E9</b>	De-Obligation of Funds Contract Modification, <i>(if applicable)</i>
<b>E9</b>	AOTR Final Inspection & Recommendation for Acceptance <i>(if applicable)</i>
<b>E10</b>	Final Acceptance and Close-Out Memorandum to the file, from Approving Official
<b>E11</b>	Verification of Red Line Drawings Received



**Attachment 1 (continued)**

<b>E12</b>	ISDEAA Contract/Grant Closeout Checklist
<b>E13</b>	System generated close out screen identifying contract closed.

**Attachment 1 (continued)**

<b>6-F</b>	<b>Tab Title: Fully Executed Contract Award/Modification(s)</b>
<b>F1</b>	SF-26 Original Contract Award
	Model Agreement Annual Funding Agreement (first year) Resolution Budget Attachments
<b>F2</b>	SF-30 Contract Modification(s)
	Annual Funding Agreement (optional years) Budget(s) Attachments  <div data-bbox="360 991 1360 1172" style="border: 1px solid black; padding: 10px;"> <p><b>* Award/Modifications SHALL contain page numbers consecutively from cover page (SF-26 or SF-30), to the last page of approved document.</b></p> </div>