



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 A1

Effective: 5/22/2020

Expires: 5/22/2021

Title: Indian Self-Determination Education Assistance Act (ISDEAA) Contract File Location, Organization, and Retention Policy – Amendment 1

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 oversight of the execution of the Office of Indian Services, Division of Self Determination, and ensures national 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

Darryl LaCounte

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LaCounte
Date: 2020.05.22 14:28:27 -04'00'

5/22/2020

Darryl LaCounte
Director, Bureau of Indian Affairs

Date

Attachment 1

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

Attachment 1 (continued)

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

Attachment 1 (continued)

3-C	Tab Title: Purchase Requests - Fund Availability Certifications
1C	Purchase Requisition w/supporting documents
2C	Fund Availability Reports/FEDs

Attachment 1 (continued)

4-D	Tab Title: Reporting/Monitoring		
1D	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	
2D	Annual Narratives: FY _____ to _____		
		Due Date	Date Received
	Year	One	
		Two	
		Three	
3D	Special Reports Negotiated <i>(if applicable)</i> , and their frequency		
4D	Site Visits:		
		Date	
	Year	One	
		Two	
		Three	
5D	Monitoring Plan(s) from AOTR/SAOTR(s)		
6D	Electronic Reporting Requirements <i>(if applicable)</i>		
		Date	
	Year	One	
		Two	
		Three	

Attachment 1 (continued)

5-E	Tab Title: Contract Close-Out
E1	<i>ISDEAA Non-Construction</i> Final Financial Status Report (SF-425)
E2	Final Contract Financial Reconciliation: Verify obligations and advance payments in FBMS match payment disbursements and contract amount.
E3	Disposition of Property
E4	Release of Claims Form - DI-137 (Rev. March 2017)
E5	AOTR/SAOTR recommendation to Close Contract
E6	ISDEAA Contract/Grant Closeout Checklist
E7	System generated close out screen identifying contract closed.
E8	<i>ISDEAA Construction (Subpart J)</i> Final Contract Financial Reconciliation: Obligation and Mods less expenditures, Advance Payments less expenditures, and adjustments to payments if necessary
E9	De-Obligation of Funds Contract Modification, <i>(if applicable)</i>
E9	AOTR Final Inspection & Recommendation for Acceptance <i>(if applicable)</i>
E10	Final Acceptance and Close-Out Memorandum to the file, from Approving Official
E11	<u>Verification of Red Line Drawings Received</u>
E12	ISDEAA Contract/Grant Closeout Checklist
E13	System generated close out screen identifying contract closed.

Attachment 1 (continued)

6-F	Tab Title: Fully Executed Contract Award/Modification(s)
F1	<p>SF-26 Original Contract Award</p> <ul style="list-style-type: none"> Model Agreement Annual Funding Agreement (first year) Resolution Budget Attachments
F2	<p>SF-30 Contract Modification(s)</p> <ul style="list-style-type: none"> Annual Funding Agreement (optional years) Budget(s) Attachments
	<div style="border: 1px solid black; padding: 10px; margin: 20px auto; width: fit-content;"> <p>Award/Modifications SHALL contain page numbers</p> <p>* consecutively from cover page (SF-26 or SF-30), to the last page of approved document.</p> </div>