

INDIAN AFFAIRS MANUAL

- 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 to ensure documentation is consistent and files are easily tracked and located.
- 1.2 Scope.** This policy applies to all BIA Self-Determination personnel handling Self-Determination contracts and grants as authorized by Indian Self Determination Education Assistance Act, as amended (ISDEAA), under Title I.
- 1.3 Policy.** All Self-Determination contract/grant files will be maintained in a central location, with an appropriate nomenclature and numbering system pursuant to Indian Affairs (IA) 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 on a daily basis, 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 (AOs) and Awarding Officials Technical Representatives (AOTRs)) must adhere to the rules and regulations governing Self-Determination services in BIA, specifically:

1.4 Authority.

A. Statutes and Regulations.

- 1) 25 U.S.C. §§450 et seq., Indian Self-Determination and Education Assistance Act of 1975, as amended (ISDEAA).
- 2) 25 CFR 900.8, 900.12 & 900.125, Contracts/Grants Proposals under the Indian Self-Determination and Education Assistance Act.

B. Guidance.

- 1) Indian Affairs Records Schedules, (1500 Indian Self-Determination):
 - a) 1501-P5, Indian Self-Determination Contract Files
 - b) 1502-P5, Indian Self-Determination Grant Files

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- c) 1506-P5, Indian Self-Determination Construction Files

C. Handbooks.

- 1) **Internal Agency Procedures Handbook for Non-Construction Contracting Under Title I of the ISDEAA, July 28, 1999.** This Handbook provides procedures to facilitate and enhance contracting with Indian tribes and tribal organizations.
- 2) **Awarding Official (AO) Certification System Handbook, June 2007.** The Handbook provides procedures to implement a certification system for those BIA officials designated and delegated authority to function as AOs for contracts, including construction contracts awarded under the authority of the Act and all grants, except for those grants awarded under the authority of the Tribally Controlled Schools Act of 1988, as amended (P.L. 100-297).
- 3) **Indian Self-Determination “Delegation of Signature Authority” Handbook, July 19, 2006.** The Handbook provides procedures to implement the delegation of authority to IA line officers to approve, decline, award, modify, and perform all other functions in the administration of contracts, including construction contracts under the Act and all grants, except for those grants awarded under the authority of P.L. 100-297.

1.5 Roles and Responsibilities.

- A. **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.
- B. **Chief, Division of Self-Determination** is responsible for the oversight of the Division of Self-Determination and ensures the policy is being followed by completing program reviews and on-site visits.
- C. **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.

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Part 13

Indian Self-Determination

Chapter 5

Contract File Location, Organization and Retention

Page 3

D. Regional Director(s), Superintendents, and Line Officers are responsible for ensuring this policy is adhered to by staff under their administrative authority.

Approval

Darryl LaCounte

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7/09/20

Darryl LaCounte

Date

Director, Bureau of Indian Affairs

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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	ISDEEA 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
11A	USA Spending Report

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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; USA Spending Plan, etc.
4B	Secretary's Contract Modification Cover Letters

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Attachment 1 (continued)

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

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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		

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Attachment 1 (continued)

5D	Monitoring Plan(s) from AOTR(s)/SAOTR(s)		
6D	Electronic Reporting Requirements <i>(if applicable)</i>		
		Date	
	Year	One	
		Two	
		Three	

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Attachment 1 (continued)

5-E	Tab Title: Contract Close-Out
	<i>ISDEAA Non-Construction</i>
E1	Final Financial Status Report (SF-425)
E2	Final Contract Financial Reconciliation: Verify obligations and advance Payment(s) 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.
	<i>ISDEAA Construction (Subpart J)</i>
E8	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

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Attachment 1 (continued)

E11	Verification of Red Line Drawings Received
E12	ISDEAA Contract/Grant Closeout Checklist
E13	System generated close out screen identifying contract closed.
6-F	Tab Title: Fully Executed Contract/Modification(s)
F1	SF-26 Original Contract Award Model Agreement Annual Funding Agreement (first year) Resolution Budget Attachments
F2	SF-30 Contract Modification(s) Annual Funding Agreement (optional years) Budget(s) Attachments <p style="text-align: center;">* Award/Modifications SHALL contain page numbers consecutively from cover page (SF-26/SF-30), through the last page of the complete approved document.</p>