

## **CHAPTER 1-140 ASSISTANCE AGREEMENT NUMBERING AND FILES ORGANIZATION**

- [1-140-00 What does this chapter do?](#)
- [1-140-10 How is your assistance agreement number assigned?](#)
- [1-140-20 Who maintains our official assistance agreement files?](#)
- [1-140-30 Will we keep our official files on paper or in electronic form?](#)
- [1-140-40 What must we include in our official assistance agreement files?](#)
- [1-140-50 How should we organize our official assistance agreement files?](#)
- [1-140-60 May we organize our official assistance agreement files in a different format?](#)

### **1-140-00 What does this chapter do?**

This chapter explains how we assign identifying numbers to assistance agreements awarded by us, the Office of Surface Mining Reclamation and Enforcement (OSM). It also explains our requirements for our official assistance agreement files. It outlines how we organize our official agreement file. These rules apply to all OSM assistance programs. This chapter also lists all the standard Abandoned Mine Land (AML) grant subaccount numbers and funding type codes.

### **1-140-10 How is your assistance agreement number assigned?**

- A. All assistance agreement numbers are automatically assigned by our electronic grant system.
- B. The system uses the following numbering structure.
  - 1. The first digit is the letter "S", which is the Department's code for OSM.
  - 2. The next two numbers show the Federal fiscal year when we originally awarded the agreement.
  - 3. The next two letters show the type of agreement. The first letter is "A" for financial assistance. OSM grants normally are "AF" for a formula grant or "AP" for a project grant. "AC" is normally used for cooperative agreements.
  - 4. The final five numbers are automatically assigned by the system in sequential order.

### **1-140-20 Who maintains our official assistance agreement files?**

- A. The office which awarded the agreement is responsible for our official assistance agreement files.
- B. The official file for each grant or cooperative agreement will be established and maintained by the appropriate grants specialist in our awarding office.

### **1-140-30 Will we keep our official files on paper or in electronic form?**

## **ASSISTANCE AGREEMENT NUMBERING AND FILE ORGANIZATION**

Departmental policy requires us to keep the complete official assistance agreement file on paper. Some information in the hard copy files will be duplicated in the electronic grant system or in additional electronic files. All records in the electronic grant system must be printed, and filed in the official assistance agreement file.

### **1-140-40 What must we include in our official assistance agreement files?**

Each official assistance agreement file must contain at least the following items.

- A. All items received from the recipient.
- B. Complete award documents for the original agreement and all amendments.
- C. Information sent to the recipient with the award.
- D. Findings and recommendations from application reviews and all other documentation from reviewing the application or processing the award.
- E. Recipient performance, financial and other reports.
- F. Monitoring statements or other documentation of our review of recipient performance or reports.
- G. All correspondence from or to the recipient or any other party related to the agreement.

### **1-140-50 How should we organize our official assistance agreement files?**

Our awarding office should keep the official files for its assistance agreements in a consistent format. The standard format is in a six segment file folder, with the most recent information, or activities on top, organized as follows.

- A. Segment 1 is the Approved Application. This segment contains the complete application as we approved it in our original award, amendment applications, and letter requests.
  - 1. SF 424 (Application for Federal Assistance).
  - 2. Documents related to intergovernmental coordination (E.O. 12372).
  - 3. Budget request with all required backup information.
  - 4. Program narrative.
  - 5. Any assurances, certifications or disclosure reports required for this application.

## **ASSISTANCE AGREEMENT NUMBERING AND FILE ORGANIZATION**

6. Indirect Cost Rate agreement approved by the cognizant Federal agency.
7. Any supporting information included with the assistance application.
8. Letter revisions to the application.

Material deleted or amended from the application should be clearly marked "VOID" and placed in Segment 3. All material should be dated. Only current material should appear in Segment 1. Recipient's transmittal letters should appear in Segment 6.

B. Segment 2, Legal Documents, includes the following documents.

1. Assistance Agreement.
2. Amendments to Assistance Agreement.
3. Letters of Approval.
4. Letter from the awarding office notifying the recipient that OSM considers the assistance agreement to be closed.

Do not include letters from the recipient in this segment. They belong either in segment 1, if part of the application or a letter request, or segment 6 with correspondence. Our transmittal letter forwarding the award document to the recipient should also be filed in segment 6..

C. Segment 3, Support Documentation, includes the following documents.

1. Copies of state laws, organizational regulations, policies and procedures, etc.
2. Material deleted or amended from the recipient's applications.

D. Segment 4, OSM Findings and Review Documentation, includes the following documents. This segment contains documentation of internal actions taken by the awarding office during the review of this assistance agreement application and processing of the award.

1. Findings and Recommendations memos.
2. All documentation of review and recommended actions.
3. Reports of pre-award conference with recipient.
4. Telephone conversation records.

5. Financial system report verifying that the funds to be awarded are available.
  6. Any internal budget or processing notifications required by the awarding office.
  7. Any report or notification of the planned award.
  8. Financial system report verifying that the award action processed correctly,
- E. Segment 5, Financial and Performance Reporting Documents, contains the following documents. This segment will not be used as the basis for financial auditing; therefore, it need not duplicate all detailed financial documents, and records contained in the recipient's files.
1. Financial Report.
  2. Narrative performance report.
  3. Monitoring statements documenting OSM reviews.
  4. Accounting or grant system printouts used in reviewing, monitoring or calculating for this assistance agreement.
  5. Closeout documentation and reports.
  6. Relevant portions of audit report, recipient responses, internal reviews and OSM resolution of audit issues.
  7. Documentation for other OSM actions affecting the grant.
- F. Segment 6, Miscellaneous Correspondence and Reports, includes the following documents.
1. General correspondence, transmittal letters, and correspondence providing general guidance concerning the grant. However, approval letters should be filed in segment 2.
  2. News releases, news clippings, recipient newsletters.
  3. Letters from members of Congress and the public and OSM replies.

**1-140-60 May we organize our official assistance agreement files in a different format?**

Our awarding office may choose to organize its official assistance files in a different format than the one outlined above. All required information must still be included in the official assistance agreement file. A file plan must be available detailing where specific documents, and information can be found.