

**AML GRANT PROGRAM
APPLICATION REVIEW**

EXHIBIT X5-20A-1
PAGE 5

GRANT REVIEW AND APPROVAL PROCESS

DAY	FIELD OFFICE	SUPPORT CENTER	OTHER
1	Receives original and two copies of grant application. Starts review of application.		
3	Acknowledges receipt to grantee in writing.		
5	Prepares News Item Data Sheet (NIDS); sends one copy of application and NIDS to AD-SC.		
7		Reviews NIDS.	
30	Determines if application is complete. Requests AD-SC to confirm that grantee's allocation is sufficient.	Telefaxes copy of NIDS to PA and CL.	PA - Prepares fact sheet or draft news release; CL - Prepares notification information.
31	Prepares approval package.	Confirms availability of funds to FOD.	
35		If award is \$1M or over, checks with CL 2 days prior to scheduled award date.	
37	FOD signs award. Informs AD-SC by telephone and sends award package to AD-SC.		PA - Issues news release; CL - Makes Congressional calls.
40	Sends grant agreements to grantee for signature.		
40-50		Signs and sends MB-212 to DFM. Sends copy of signed MB-212 to FO and DAMLR.	DFM - Obligates funds.
60			Grantee - Countersigns award document; returns copy to FO.
80	Receives copy of countersigned award document; sends copy to AD-SC and DFM.		

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CHECKLIST FOR REVIEWING AN OSM AML APPLICATION FOR FEDERAL ASSISTANCE

NAME OF APPLICANT _____ AMOUNT OF APPLICATION \$ _____ ID NUMBER _____

Date of Application _____ Date Rec'd by FO _____ Date Reviewed by FO _____

Application Package

	<u>Yes</u>	<u>No</u>	<u>Not Applicable</u>
1. Is the application complete? Does it contain:			
- Application for Federal Assistance, SF 424	()	()	()
- Budget Information - OSM 49	()	()	()
- Program Narrative Statement, OSM 51	()	()	()
- Drug Free Workplace Certification, DI 1955	()	()	()
- Nonprocurement Debarment and Suspension - Primary, DI 1953	()	()	()
- Nonprocurement Debarment and Suspension - Lower Tier, DI 1954	()	()	()
- Certification Regarding Lobbying, DI 1963	()	()	()
- Disclosure of Lobbying Activities, SF-LLL	()	()	()
- Nonconstruction Assurances, SF 424B	()	()	()
- Construction Assurances, SF 424D	()	()	()
Explain Negative Answers: _____			

Application for Federal Assistance - SF 424

2. Are the items on the SF 424 correctly prepared?	()	()	()
3. Is there evidence that the State has complied with the Intergovernmental Review (E.O. 12372) requirements?	()	()	()
Explain Negative Answers: _____			

Budget Information - OSM 49

4. Is the budget computed properly?	()	()	()
5. Has the applicant submitted the most current indirect rate agreement?	()	()	()
6. Are indirect costs computed correctly?	()	()	()
Explain Negative Answers: _____			

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	Yes	No	Not Applicable
<u>Program Narrative Statement - QSM 51</u>			
7. Does the statement include the following information:			
(a) Objectives and need for assistance	()	()	()
(b) Results or benefits expected	()	()	()
(c) Plan of how proposed work will be accomplished	()	()	()
(d) Quantitative projections, as applicable	()	()	()
(e) Chronological list to show the schedule of accomplishments	()	()	()
Explain Negative Answers: _____			

<u>Drug Free Workplace Certification - DI 1955</u>			
8. Does the form contain the authorized official's signature?	()	()	()
9. If DI-1955 not submitted with application, is a copy for the current FY on file in the FO (For States Only)?	()	()	()
Explain Negative Answers: _____			

<u>Nonprocurement Debarment and Suspension - Primary Covered Transaction, DI 1953</u>			
10. Does the form contain the authorized official's signature?	()	()	()
Explain Negative Answers: _____			

<u>Nonprocurement Debarment and Suspension - Lower-Tier Covered Transaction, DI 1954</u>			
11. Have the forms been submitted for all identified contractors, subgrantees, etc.	()	()	()
12. Has the "Lists of Parties Excluded From Federal Procurement and Nonprocurement Programs" been reviewed to determine if all identified participants are eligible?	()	()	()
Explain Negative Answers: _____			

<u>Certification Regarding Lobbying, DI-1963</u>			
13. Does the form contain the authorized official's signature?	()	()	()
Explain Negative Answers: _____			

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	Yes	No	<u>Not Applicable</u>
<u>Disclosure of Lobbying Activities, SF-LLL</u>			
14. Are the items on the form completely prepared?	()	()	()
15. Does the form contain the authorized signature?	()	()	()
Explain Negative Answers: _____			

<u>Standard Assurances - SF 424B & SF 424D</u>			
16. Have the proper standard assurances been submitted?	()	()	()
17. Do the assurances contain the authorized official's signature?	()	()	()
Explain Negative Answers: _____			

<u>Summary Comments</u>			
18. Is this application and supporting documentation acceptable?	()	()	()
The following items are to be submitted or corrected.			

Reviewer	Date
----------	------

- Approval Package (to Field Office Director)
- Findings and Recommendation Memorandum
 - Completed Checklist for Reviewing an Application, OSM 64
 - Grant Agreement/Amendment Document (2 copies)
 - Completed MB 212

- Award Package (to AD-SC)
- Findings and Recommendation Memorandum
 - Completed OSM 64
 - FOD-signed Grant Agreement/Amendment Document
 - Completed MB 212
 - DI 196* (FAADS Coding)

OSM 64A (Revised 12/92)

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DATE: _____

NEWS ITEM DATA SHEET
(For Grants and Cooperative Agreements)

____ Initial Submission
____ Revised Submission

1. Proposed Action: _____
2. Target Date of Proposed Action: _____
3. State/Tribe Affected: _____
4. Identifying Grant and Amendment Number: _____
5. Purpose: _____

- 6A. New Money: \$ _____
- 6B. Old Money: \$ _____
- 6C. Total Federal Grant Amount: \$ _____
7. State/Tribe Contributing Funds: \$ _____
8. Grant Period: _____
9. OSM FO Contact and Phone No.: _____
10. OSM AD-SC Contact and Phone No.: _____
11. Total Federal Grant Funds Awarded To Date to State/Tribe for This Purpose
(Including This Award): \$ _____
12. Number of State/Tribe Personnel Support by Grant: _____
13. Number of Inspectable Units in State/Tribe: _____
14. State/Tribe Annual Coal Production: _____
15. Remarks: _____

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INSTRUCTIONS FOR COMPLETING THE NEWS ITEM DATA SHEET (NIDS)

The NIDS is prepared and submitted for all monetary awards, monetary increase amendments.

1. Describe the proposed grant action, e.g., original award or amendment to award.
 2. Anticipated date that Field Office Director will sign grant award.
 3. State or Indian Tribe receiving grant.
 4. Self-explanatory
 5. Describe the grant administrative action to be taken and the type/purpose of the grant. If more space is needed, attach a supplemental sheet.
 - 6A. Grant funds that have not been awarded previously. (Item completed by AD-SC)
 - 6B. Grant funds that have been awarded previously and deobligated. (Item completed by AD-SC)
 - 6C. Total Federal award amount (total of 6A and 6B).
 7. Additional funds provided by the State or Indian Tribe (e.g., matching share).
 8. Grant performance period.
 9. Self-explanatory.
 10. Self-explanatory.
 11. Total Federal funds provided for specific program.
 - A. Regulatory Program: Includes all interim program, program development and administration and enforcement grants; funding cooperative agreements for work on Federal lands; cooperative agreements for Indian tribes.
 - B. AML Program: Includes all pre-reclamation plan approval cooperative agreements; administrative, construction, subsidence insurance, ten-percent set-aside, State-administered emergency and RAMP grants.
 - C. SOAP: All SOAP operational grants.
 - D. FRP Program: All cooperative agreements for FRP projects.
 12. FTE or person-years identified in grant application.
 13. Source: DSM Annual Report.
 14. Source: DSM Annual Report.
 15. Comments unique to this grant action.
-

FEDERAL ASSISTANCE MANUAL

JAN 6 1993

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EXHIBIT X5-20A-4
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UNITED STATES DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT

Memorandum

To: Field Office Director
Through: _____
From: _____
Subject: Grant Findings and Recommendations

I. GRANT SUMMARY

Grantee: _____ Grant #: _____
Type of Grant: _____
Total Program Cost: _____
Grant Amount Requested: _____ Percent of Total Cost: _____
Grant Period: _____ to _____
Recommended Action: _____

II. CRITICAL DATES (Milestones During the Review)

<u>Event</u>	<u>Date</u>
Application received	
Acknowledged receipt to Grantee	
Application & NIDS sent to AD-SC	_____
Downtime (explain in Section III)	_____
Application determined administratively complete	_____
Funding check requested from AD-SC	_____
Confirmation of funding availability received	_____
_____	_____

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III. ADDITIONAL INFORMATION/SPECIAL CONSIDERATIONS

A. Summary of Requested Activities

- o Summary Indicating (as appropriate):

- Number and Type of Personnel
- Equipment (Highlighting Special Pieces or Quantities)
- Contractual Service Agreements
- Inter-Agency Agreements
- Any Noteworthy Proposals Within Requested Line Items

- Travel
- Office Rental
- Helicopter Time, etc.

B. Pre-Award Discussions

- o Summary of meeting and/or important conversations highlighting particular issues which may affect grant eligibility, the grant application or any other question or problem.

C. Findings

- o Summary of review process, incorporating input from other OSM Divisions, which reflects general status of grant eligibility and/or approvability. This should include any affirmative measures taken by the Grantee, in addition to issues involving the Title IV or Title V program or application which may affect the grant award:
 - Completion of all application requirements.
 - Statutory and regulatory authority to administer and enforce the program.
- o Summary should briefly clarify recommended approval/disapproval of exceptional budget proposals.

D. Recommendation

- o Approval/disapproval of grant application. If disapproval, explain reasons in detail. Recommendation should include any proposed grant conditions.

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**EXHIBIT X5-20A-5
PAGE 13**

<p>DEPARTMENT OF THE INTERIOR Office of Surface Mining Reclamation and Enforcement</p> <p>GRANT/COOPERATIVE AGREEMENT AWARD REPORT</p>	<p>FOR DFM USE ONLY</p> <p>_____ Document Number</p> <p>_____ Project Type</p> <p>_____ Activity Code</p> <p>_____ Obligation Type</p>
1 Grant/Cooperative Agreement Number	2 MB 212 Amendment Number
3. EDC Identifier Code	
4 Title	
5 Description of The Action	
6 Name and Complete Address of Recipient	
7 Date of The Action	8. Effective Date
9 Completion Date	10 Officially Scheduled Closeout Date
11 Award Information (Federal Dollars Only)	
a. Amount of this Action _____	
b. Prior Funding _____	
c. Total Funding _____	
12 Regulatory Grant Information (Cumulative Awards)	
a. Total Recipient Cost Sharing _____	
b. Total Program Cost _____	
13 Total Federal Lands Funding _____	
14. AML Grant Information (This Action)	
a. State Share _____	
b. Federal Share _____	
c. Emergency Federal _____	
15. Account Number(s)	

16 Signature of Approving Authority	17. Date of Signature

MB 212 (Revised 12/92)

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EXHIBIT X5-20A-5
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INSTRUCTIONS

1. **Grant/Cooperative Agreement Number.** Follow numbering instruction in FAM Chapter 5-00.
2. **MB-212 Amendment Number.** Number consecutively (A01, A02, etc.) to indicate the number of the change to the MB-212. This number does not coincide with the amendment number of the award document.
3. **LOC Identifier Code.** 141B _____. Previously letter of credit number. If the LOC identifier is not known, call the appropriate Support Center. If a new LOC identifier is required, the Division of Financial Management will assign such number.
4. **Title.** Enter title/type of grant.
5. **Description of this Action.** Enter the purpose of this action, e.g., initial award; to amend agreement to extend grant period from _____ to _____ to amend grant to increase obligation by \$ _____ in order to _____ to closeout grant and deobligate remaining funds, etc.
6. **Name and Complete Address of Recipient.** Enter complete name and address of grant recipient.
7. **Date of this Action.** Enter the date the grant award or amendment was signed. For closeouts, leave blank. The Division of Financial Management will input the date.
8. **Effective Date.** Enter beginning date of performance period of grant. Normally date does not change.
9. **Completion Date.** Enter ending date of performance period (changes with time extension).
10. **Officially Scheduled Closeout Date.** Enter the date 90 calendar days after estimated completion (changes with extension of closeout date).
11. **Award Information.** 11a. Enter amount of this Federal obligation (or deobligation); 11b. Enter the cumulative Federal amount of any existing obligations; 11c. Total Federal funding (Sum of "11a" + "11b").
12. **Regulatory Information.** 12a. Enter the total (cumulative) amount of recipient's cost sharing; 12b. Enter total program cost (OSM's funding and the recipient's cost sharing).
13. **Total Federal Lands Funding.** Enter the total amount of Federal funding provided to regulate coal mining on Federal lands, regardless of the funding option used. Note: Items 12 and 13 do not add.
14. **AML Information.** Follow instructions in OSM Directive AML-18 to provide the appropriate information for AML grants. Note: 13a + 13b. = 11a.
15. **Account Number(s).** Enter each account number and amount funded from that account. Support Centers will provide.
16. **Signature of Approving Authority** and 17. **Date of Signature.** The officially designated Support Center designee must sign and date the form. Delegation of Authority should be submitted to DFM annually to validate signature of this form.

CHAPTER 5-20R
REGULATORY GRANT PROGRAM
APPLICATION REVIEW

5-20R-00	Purpose
10	Policy
20	Elements of Review
30	Procedures

5-20R-00 PURPOSE

This chapter presents the OSM responsibilities for receiving, reviewing, and processing regulatory grant and cooperative agreement applications. Reference 30 CFR 725.15, 30 CFR 795.14, and 30 CFR 886.15.

5-20R-10 POLICY

All complete applications, as described in 5-10R, for award of OSM funds shall be processed by OSM within 60 calendar days of receipt by OSM. Within the 60-day period, the FO is allocated a maximum of 30 calendar days to perform its review. The remaining 30 days are used to complete the processing of the award and obligation of funds. See the Grant Review and Approval Process at Exhibit X5-20R-1.

5-30R-20 ELEMENTS OF REVIEW

- A. In evaluating a grant application the reviewer should proceed with caution. A detailed knowledge of the interrelationships of the various tasks is required to determine the cost. This is where OSM technical, financial, and programmatic staff can be consulted and an effective cost analysis made.
- B. The following lists of items are not all inclusive, but represent general items for consideration when reviewing an application. Variations will occur from grantee to grantee which could require the consideration of additional items. It is important not to just look at each item as a completely separate entity, but rather to see how each item contributes to the successful operation of the grant. The reviewer's judgement should be applied during the analysis of the application.
1. Eligibility/Cost Analysis. In evaluating cost, consider:
 - a. Demonstration of need;
 - b. Suitability of request to meet demonstrated need;

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PAGE 2

5-20R-20.B.1 (Continued)

- c. Eligibility of cost (OMB Circular A-87 and OSM regulations);
- d. Reasonableness of the cost under the circumstances of the particular grant;
- e. Fair market price;
- f. Regional differences in cost.

2. Personnel Costs

- a. There are three major aspects of personnel costs which must be considered:
 - (1) The eligibility of the function/activity to be supported through the grant;
 - (2) The number and type of personnel who will be performing the function/activity; and
 - (3) The rate at which personnel will be charged to the function/activity.
- b. In reviewing the first and second aspects, each function/activity must be considered separately as well as part of the whole grant effort. The reviewer must assume that the personnel assigned to major roles in the project have the background and expertise required to accomplish the goals of the function/activity. In many cases, such assurances will not be available from personal knowledge of the principal personnel and the reviewer will have to rely on job descriptions and other pertinent information.
- c. In evaluating the rate of personnel charges, grant applications will normally be expected to provide pay rates. Since the grant applicant is a State/Tribal Government agency, and most such governments have legislatively determined pay rates, there are few instances where this aspect of evaluation is a problem. The key aspects are the reasonableness of the rates under the circumstances and that the rates are consistent with those used by the State/Tribe for similar activities not supported by the Federal grant.

3. Property Costs (Includes Real Estate, Equipment and Supplies)

- a. Careful screening should take place before acquiring real estate, equipment and supplies to insure that the item(s) is/are needed and that the need cannot be met with property already in possession of the grantee.

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APPLICATION REVIEW

PAGE 3

5-20R-20B.3. (Continued)

- b. In evaluating cost, consider:
 - (1) Demonstration of need;
 - (2) Furtherance of program objectives;
 - (3) Length of time needed by grantee;
 - (4) Alternatives to purchasing property:
 - (a) rental,
 - (b) leasing,
 - (c) borrowing,
 - (d) sharing; and
 - (5) OSM property rules.

 - c. When it is desirable to participate in the cost of acquisition of property, OSM must be assured that the grantee has an adequate property management system that will ensure proper utilization and accountability. The grantee shall keep records which will enable it to provide to OSM a description of the equipment and a statement of its acquisition cost, current condition and fair market value. Program Officers should request as much additional clarification of information as is needed to understand and justify the work to be performed and the associated costs.
4. Travel. In evaluating travel, consider:
- a. Demonstration of need;
 - b. Method of calculation; and
 - c. Furtherance of program objectives.

5-20R-30 PROCEDURES

A. General Review

- t. The FO is to check arithmetic, assure that environmental assessments are adequate, verify that consultation has occurred with State historic preservation officers and fish and wildlife officials, and examine other similar matters. The FO may require additional information in order to determine that proposed costs are reasonable, necessary, eligible and allocable.

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APPLICATION REVIEW

PAGE 4

5-20R-20A (Continued)

2. See a sample form for internal processing of Federal assistance applications at Exhibit X5-20R-2. Duplicate copies of a review form can be signed by the reviewer and distributed to other reviewers to obtain unprovided documentation and ensure against any unforeseen delays in processing applications for Federal assistance.

B. Application Processing (See Exhibit X5-20R-1)

1. Upon receipt of an application, the FO shall acknowledge receipt to the recipient in writing within three days. The FO shall prepare a news item data sheet (NIDS) and transmit one copy of the application and NIDS to the appropriate AD-SC within five days. The form and instructions for completing the NIDS are at Exhibit X5-20R-3.
2. The AD-SC's office, on receipt of its copy of the application and NIDS, shall review the NIDS.
3. Within 30 calendar days after receiving an application, the FO shall determine if it is administratively complete. In reviewing an application the following items shall be considered and/or verified:
 - a. Determine mathematical accuracy and that amounts requested are necessary and reasonable. This review should consider prior applications and grant expenditures grantee plan provisions and grantee estimating procedures.
 - b. For grants that require cost sharing, such as permanent regulatory program grants, consider and/or verify the following:
 - (1) That a responsible State official is certifying that the amount of State matching funds is available for expenditures under the grant during the grant period.
 - (2) That the amount certified is adequate to cover the State's share of the estimated grant cost.

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5-20R-30.B.3.b. (Continued)

- (3) If the amount of funds certified as available is not adequate, or if it is determined that the amount certified may not be available, the FO shall obtain from the applicant a statement of when the funds will be available and the source from which the funds are expected.
- c. Determine that the estimated cost to OSM for the agreement or project is reasonable considering the anticipated results.
- d. Determine that the project personnel are qualified.
- e. Determine that the applicant organization has adequate facilities and resources to accomplish the work under the grant.
- f. Determine that the proposed procedures, if well executed, are capable of attaining the proposed objectives.
- g. Determine that the project objectives are identical with or are capable of achieving the specific program objectives defined in the State's approved program or Grantee's reclamation plan.

4. Downtime

- a. The FO is allowed 30 days to complete its review. If the FO determines an application is incomplete, it returns the application to the grantee and requests corrective action, thus "stopping the clock" on the 30-day review period. However, it is recommended that the FOs resolve issues or errors within the 30-day period rather than make a formal determination of incompleteness. If the missing part(s) can be provided easily by the Grantee and will not delay the review of the application past the initial 30-day review period, the application should not be determined incomplete. The application need not be perfect to be accepted for processing.
- b. In order to ensure that FOs are not penalized for exceeding the review time limit because of attempts to resolve issues without stopping the clock, the "downtime" concept has been developed. Downtime is considered to be any period when the review is being held up due to circumstances outside FO control. Downtime will

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5-20R-30.B.4 (Continued)

- normally occur in periods when the FO is waiting to receive a requested response or correction from the grantee. Downtime days are not included in the 30-day FO review period.
- c. If a downtime period occurs during the review process, the review clock is considered to be suspended at the point when no further action can be taken until the concern is resolved (for example, when a grantee is notified of corrections needed). At the end of the downtime period (usually when the requested corrections are received), the review process clock starts up again at the same number it was when suspended.
 - d. The FOs shall inform the SC of any downtime which may result in a delay of the grant award.
 - e. If the FO makes a formal determination that an application is incomplete, the 30-day review period clock stops at that time. Upon submission of a complete, corrected application, the clock is re-initiated at day 1 of a new 30-day review period.
 - f. Details of downtime are documented in the findings and recommendations memorandum.
5. Each FO shall check the "Lists of Parties Excluded from Federal Procurement or Nonprocurement Programs" before the FOD signs a cooperative agreement, in order to determine whether a participant or principal is debarred, suspended, ineligible or voluntarily excluded. (The information is also available electronically through the GSA's Federal Supply Service Multi-Use File for Interagency News (MUFFIN)).
6. Once an application is determined to be complete, no later than seven calendar days prior to the planned award, the FO shall notify the appropriate AD-SC of the planned award date and request verification that funds are available. The AD-SC will then check the funding level telefax a copy of NIDS to the Headquarters Public Affairs Office (PAO) and Congressional Liaison Office (CLO) and inform the FO, CLO and PAO in Headquarters.

If the award is \$1M or over, the AD-SC will check with CLO 2 days prior to scheduled award date to assure that all Headquarters actions are on target.

5-20R-30.C (Continued)

7. The FO shall document its grant review activity using the findings and recommendation memorandum format shown in Exhibit X5-20R-4.
8. Once verification is received from the AD-SC that funds are available (and for awards \$1M and over that all Headquarters actions are completed) and the findings and recommendation memorandum has been prepared, the FOD or his/her designate shall sign and date the agreement form. Then, the FO sends the award package to the appropriate AD-SC. See Exhibit X5-20R-5 for instructions on completing the form MB 212, Grant/Cooperative Agreement Award Report.
9. Three days after the FO sends the award package to the appropriate AD-SC, the FO sends two copies of the award document to the Grantee for countersignature.
10. On receipt of the award package, the AD-SC prepares and signs the obligation document (MB 212) and forwards it along with a copy of the award document to the DFM for obligation of funds. The AD-SC sends a copy of the MB 212 to the FO and Headquarters (DAMLR or DRP, as appropriate).

C. Documentation of Grant Reviews

The FO will ensure that the following items are available in the official grant file maintained in the FO:

1. Records of all meetings or telephone conversations with the recipient organization which provided information in support of the application.
2. All correspondence between the FO and the recipient which relates to the application or supports the award decision.
3. All internal OSM reviews of the application or parts of the application.
4. All explanations or resolutions of questions raised during the review process.
5. A determination and the basis that proposed objectives and plans are appropriate and reasonable.

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5-20R-30.B. (Continued)

6. A determination and the basis that proposed cost items are reasonable, necessary, eligible and allocable.
7. A determination and the basis that the recipient is able to provide the match level required in the Administration and Enforcement grant.
8. A recommendation for the approval or disapproval of the grant application.

This list is considered the minimum level of grant review documentation. It is expected that additional supporting information and reports will also be included as appropriate for the particular application, the grant recipient, and the FO involved.

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40-50		Signs and sends MB-212 to DFM. Sends copy of signed MB-212 to FO and DRP.	DFM - Obligates funds.
60			Grantee - Countersigns award document; returns copy to FO.
80	Receives copy of countersigned award document; sends copy to AD-SC and DFM.		

**If problems occur with application and/or funding, FO will work with Grantee to resolve.

If missing parts cannot be provided easily or within the initial 30-day review period (e.g., Clearinghouse documentation), the process stops until the items are received.

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**EXHIBIT X5-20R-2
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CHECKLIST FOR REVIEWING AN OSM REGULATORY APPLICATION FOR FEDERAL ASSISTANCE

NAME OF APPLICANT _____ AMOUNT OF APPLICATION \$ _____ ID NUMBER _____

Date of Application _____ Date Rec'd by FO _____ Date Reviewed by FO _____

Application Package

	<u>Yes</u>	<u>No</u>	<u>Not Applicable</u>
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- Nonprocurement Debarment and Suspension - Lower Tier, DI 1954	()	()	()
- Certification Regarding Lobbying, DI 1963	()	()	()
- Disclosure of Lobbying Activities, SF-LLL	()	()	()
- Nonconstruction Assurances, SF 424B	()	()	()
Explain Negative Answers: _____			

Application for Federal Assistance - SF 424

2. Are the items on the SF 424 correctly prepared?	()	()	()
3. Is there evidence that the State has complied with the Intergovernmental Review (E.O. 12372) requirements?	()	()	()
Explain Negative Answers: _____			

Budget Information - OSM 47

4. Is the budget computed properly?	()	()	()
5. Has the applicant submitted the most current indirect rate agreement?	()	()	()
6. Are indirect costs computed correctly?	()	()	()
Explain Negative Answers: _____			

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		Yes	No	Not Applicable
<u>Program Narrative Statement - QSM 51A, B, C</u>				
7.	Does the statement include the following information:			
	(a) Objectives and need for assistance	()	()	()
	(b) Results or benefits expected	()	()	()
	(c) Plan of how proposed work will be accomplished	()	()	()
	(d) Quantitative projections, as applicable	()	()	()
	(e) Chronological list to show the schedule of accomplishments	()	()	()
	Explain Negative Answers: _____			

Drug Free Workplace Certification - DI 1955

8	Does the form contain the authorized official's signature?	()	()	()
9	If DI-1955 not submitted with application, is a copy for the current FY on file in the FO (For States Only)?	()	()	()
	Explain Negative Answers: _____			

Nonprocurement Debarment and Suspension - Primary Covered Transaction, DI 1953

10.	Does the form contain the authorized official's signature?	()	()	()
	Explain Negative Answers: _____			

Nonprocurement Debarment and Suspension - Lower-Tier Covered Transaction, DI 1954

11.	Have the forms been submitted for all identified contractors, subgrantees, etc.	()	()	()
12.	Has the "Lists of Parties Excluded From Federal Procurement and Nonprocurement Programs" been reviewed to determine if all identified participants are eligible?			
	Explain Negative Answers: _____			

Certification Regarding Lobbying, DI-1963

13.	Does the form contain the authorized official's signature?	()	()	()
	Explain Negative Answers: _____			

REGULATORY GRANT PROGRAM
APPLICATION REVIEW

EXHIBIT X5-20R-2
PAGE 12

Disclosure of Lobbying Activities, SF-LLL

14. Does the form contain the authorized signature? () () ()
15. Explain Negative Answers: _____

Standard Assurances - SF 424B

16. Have the proper standard assurances been submitted? () () ()
17. Do the assurances contain the authorized official's signature? () () ()
Explain Negative Answers: _____

=====
Summary Comments

18. Is this application and supporting documentation acceptable? () () ()
The following items are to be submitted or corrected.

Reviewer Date

=====
Approval Package (to Field Office Director)

- Findings and Recommendation Memorandum
- Completed Checklist for Reviewing an Application, OSM 64
- Grant Agreement/Amendment Document (2 copies)
- Completed MB 212

=====
Award Package (to AD-SC)

- Findings and Recommendation Memorandum
- Completed OSM 64
- FOD-signed Grant Agreement/Amendment Document
- Completed MB 212
- DI 1961 (FAADS Coding)

OSM 64R (Revised)

REGULATORY GRANT PROGRAM
APPLICATION REVIEW

EXHIBIT X5-20R-3
PAGE 13

DATE: _____

NEWS ITEM DATA SHEET
(For Grants and Cooperative Agreements)

_____ Initial Submission
_____ Revised Submission

1. Proposed Action: _____
2. Target Date of Proposed Action: _____
3. State/Tribe Affected: _____
4. Identifying Grant and Amendment Number: _____
5. Purpose: _____

- 6A. New Money: \$ _____
- 6B. Old Money: \$ _____
- 6C. Total Federal Grant Amount: \$ _____
7. State/Tribe Contributing Funds: \$ _____
8. Grant Period: _____
9. OSM FO Contact and Phone No.: _____
10. OSM AD-SC Contact and Phone No.: _____
11. Total Federal Grant Funds Awarded To Date to State/Tribe for This Purpose
(Including This Award): \$ _____
12. Number of State/Tribe Personnel Support by Grant: _____
13. Number of Inspectable Units in State/Tribe: _____
14. State/Tribe Annual Coal Production: _____
15. Remarks: _____

**REGULATORY GRANT PROGRAM
APPLICATION REVIEW**

**EXHIBIT X5-20R-3
PAGE 14**

INSTRUCTIONS FOR COMPLETING THE NEWS ITEM DATA SHEET (NIDS)

The NIDS is prepared and submitted for all monetary awards, monetary increase amendments.

1. Describe the proposed grant action, e.g., original award or amendment to award.
2. Anticipated date that Field Office Director will sign grant award.
3. State or Indian Tribe receiving grant.
4. Self-explanatory.
5. Describe the grant administrative action to be taken and the type/purpose of the grant. If more space is needed, attach a supplemental sheet.
- 6A. Grant funds that have not been awarded previously. (Item completed by AD-SC)
- 6B. Grant funds that have been awarded previously and deobligated. (Item completed by AD-SC)
- 6C. Total Federal award amount (total of 6A and 6B).
7. Additional funds provided by the State or Indian Tribe (e.g., matching share).
8. Grant performance period.
9. Self-explanatory.
10. Self-explanatory.
11. Total Federal funds provided for specific program.
 - A. Regulatory Program: Includes all interim program, program development, and administration and enforcement grants; funding cooperative agreements for work on Federal lands; cooperative agreements for Indian tribes
 - B. AML Program: Includes all pre-reclamation plan approval cooperative agreements, administrative, construction, subsidence insurance, ten-percent set-aside, State-administered emergency and RAMP grants.
 - C. SOAP: All SOAP operational grants.
 - D. FRP Program: All cooperative agreements for FRP projects.
12. FTE or person-years identified in grant application.
13. Source: OSM Annual Report.
14. Source: OSM Annual Report.
15. Comments unique to this grant action.

REGULATORY GRANT PROGRAM
APPLICATION REVIEW

EXHIBIT X5-20R-4
PAGE 15

UNITED STATES DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING RECLAMATION AND ENFORCEMENT

Memorandum

To: Field Office Director
Through: _____
From: _____
Subject: Grant Findings and Recommendations

I. GRANT SUMMARY

Grantee: _____ Grant #: _____
Type of Grant: _____
Total Program Cost: _____
Grant Amount Requested: _____ Percent of Total Cost: _____
Grant Period: _____ to _____
Recommended Action: _____

II. CRITICAL DATES (Milestones During the Review)

<u>Event</u>	<u>Date</u>
Application received	_____
Acknowledged receipt to Grantee	_____
Application & NIDS sent to AD-SC	_____
Downtime (explain in Section III.)	_____
Application determined administratively complete	_____
Funding check requested from AD-SC	_____
Confirmation of funding availability received	_____

REGULATORY GRANT PROGRAM
APPLICATION REVIEW

EXHIBIT X5-20R-4
PAGE 16

2

III. ADDITIONAL INFORMATION/SPECIAL CONSIDERATIONS

A. Summary of Requested Activities

- o Summary Indicating (as appropriate):
Number and Type of Personnel
Equipment (Highlighting Special Pieces or Quantities)
Contractual Service Agreements
Inter-Agency Agreements
Any Noteworthy Proposals Within Requested Line Items

Travel
Office Rental
Helicopter Time, etc.

B. Pre-Award Discussions

- o Summary of meeting and/or important conversations highlighting particular issues which may affect grant eligibility, the grant application or any other question or problem.

C. Findings

- o Summary of review process, incorporating input from other OSM Divisions, which reflects general status of grant eligibility and/or approvability. This should include any affirmative measures taken by the Grantee, in addition to issues involving the Title IV or Title V program or application which may affect the grant award:
 - Completion of all application requirements.
 - Statutory and regulatory authority to administer and enforce the program.
 - Fulfillment of provisions of previous grant.
 - Discussion of how State will provide matching share (Title V grants)
- o Summary should briefly clarify recommended approval/disapproval of exceptional budget proposals.

D. Recommendation

- o Approval/disapproval of grant application. If disapproval, explain reasons in detail. Recommendation should include any proposed grant conditions.

**REGULATORY GRANT PROGRAM
APPLICATION REVIEW**

EXHIBIT X5-20R-5
PAGE 17

<p>DEPARTMENT OF THE INTERIOR Office of Surface Mining Reclamation and Enforcement</p> <p>GRANT/COOPERATIVE AGREEMENT AWARD REPORT</p>		<p>FOR DFM USE ONLY</p> <p>_____ Document Number</p> <p>_____ Project Type</p> <p>_____ Activity Code</p> <p>_____ Obligation Type</p>	
1. Grant/Cooperative Agreement Number		2. MB 212 Amendment Number	
3. LAX Identifier Code			
4. Title			
5. Description of This Action			
6. Name and Complete Address of Recipient			
7. Date of This Action		8. Effective Date	
9. Completion Date		10. Officially Scheduled Closeout Date	
11. Award Information (Federal Dollars Only)			
a. Amount of This Action _____			
b. Prior Funding _____			
c. Total Funding _____			
12. Regulatory Grant Information (Cumulative Amounts)		14. AMDL Grant Information (This Action)	
a. Total Recipient Cost Sharing _____		a. State Share _____	
b. Total Program Cost _____		b. Federal Share _____	
13. Total Federal Lands Funding _____		c. Emergency Federal _____	
15. Account Number(s)			
_____ _____ _____			
16. Signature of Approving Authority		17. Date of Signature	

MB 212 (Revised 12/92)

**REGULATORY GRANT PROGRAM
APPLICATION REVIEW**

**EXHIBIT X5-20R-4
PAGE 18**

INSTRUCTIONS

1. **Grant/Cooperative Agreement Number.** Follow numbering instruction in FAM Chapter 5-50.
2. **MB-212 Amendment Number.** Number consecutively (A01, A02, etc.) to indicate the number of the change to the MB-212. This number does not coincide with the amendment number of the award document.
3. **LOC Identifier Code.** 1418 _____. Previously letter of credit number. If the LOC identifier is not known, call the appropriate Support Center. If a new LOC identifier is required, the Division of Financial Management will assign such number.
4. **Title.** Enter title/type of grant.
5. **Description of this Action.** Enter the purpose of this action, e.g., initial award; to amend agreement to extend grant period from _____ to _____; to amend grant to increase obligation by \$_____ in order to _____; to closeout grant and deobligate remaining funds, etc.
6. **Name and Complete Address of Recipient.** Enter complete name and address of grant recipient.
7. **Date of this Action.** Enter the date the grant award or amendment was signed. For closeouts, leave blank. The Division of Financial Management will input the date.
8. **Effective Date.** Enter beginning date of performance period of grant. Normally date does not change.
9. **Completion Date.** Enter ending date of performance period (changes with time extension).
10. **Officially Scheduled Closeout Date.** Enter the date 90 calendar days after estimated completion (changes with extension of closeout date).
11. **Award Information.** 11a. Enter amount of this Federal obligation (or deobligation); 11b. Enter the cumulative Federal amount of any existing obligations; 11c. Total Federal funding (Sum of "11a" + "11b").
12. **Regulatory Information.** 12a. Enter the total (cumulative) amount of recipient's cost sharing; 12b. Enter total program cost (OSM's funding and the recipient's cost sharing).
13. **Total Federal Lands Funding.** Enter the total amount of Federal funding provided to regulate coal mining on Federal lands, regardless of the funding option used. Note: Items 12 and 13 do not add.
14. **AML Information.** Follow instructions in OSM Directive AML-18 to provide the appropriate information for AML grants. Note: 13a + 13b = 11a.
15. **Account Number(s).** Enter each account number and amount funded from that account. Support Centers will provide.
16. **Signature of Approving Authority** and 17. **Date of Signature.** The officially designated Support Center designee must sign and date the form. Delegation of Authority should be submitted to DFM annually to validate signature of this form.

CHAPTER 5-30A
AML GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

5-30A-00	Purpose
10	Applicability
20	OSM Policy
30	Changes
40	Requirements for Approval of Changes

5-30A-00 PURPOSE

- A. The requirements for prior approvals for changes to Abandoned Mine Land (AML) grants are established in the Grants Management Common Rule (codified by the Department of the Interior at 43 CFR Part 12, Subpart C).
- B. This chapter provides OSM policy and procedures when requiring recipients to report and request approval for changes to AML grants.

5-30A-10 APPLICABILITY

This chapter is applicable to all AML grants awarded by OSM.

5-30A-20 OSM POLICY

- A. Amendments, and other proposed changes in the official agreement shall be submitted for OSM approval in advance of the actual change or obligation. By incurring costs prior to approval of an amendment, the recipient takes the risk that Federal funding may not be available or allowed.
- B. No request for a change to a grant (e.g., extensions of time, addition of a budget category, additional funding) received after the scheduled expiration date will be honored unless there are unforeseen circumstances not under the direct control of the recipient. Such extenuating circumstances must be justified to the satisfaction of the FOD.
- C. Normally requests for extensions of the performance period should be received by OSM at least 45 days prior to the scheduled expiration date. OSM will honor only one extension of the normal period of performance and the extension may not be for more than one year, unless special or unusual circumstances are adequately justified to the FOD. This policy does not apply when the original grant is awarded for less than the normal performance period due to budget constraints and, as funds become available, the grant is extended to its normal performance period.

AML GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

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5-30A-30 CHANGES

- A. In accordance with the Grants Management Common Rule, the following changes require prior written approval of OSM:
1. Any budget revision which would result in the need for additional funds.
 2. The need to extend the period of performance.
 3. When a grant or subgrant provides funding for both construction and nonconstruction activities, the grantee or subgrantee must obtain prior written approval from OSM before making any fund or budget transfer from nonconstruction to construction or vice versa. Under the revised AML grant program, project costs are considered construction activities and administrative costs are considered nonconstruction activities.
- B. OSM may not require prior approval for any budget change which is not described in the Grants Management Common Rule.

5-30A-40 REQUIREMENTS FOR APPROVAL OF CHANGES

- A. The following changes require a formal amendment to an approved OSM grant award:
1. The need for additional funding;
 2. The need to deobligate funds prior to the end of the performance period;
 3. The need to extend the period of performance;
 4. The need to fund an additional budget category; and
 5. The need to make a fund or budget transfer from nonconstruction to construction or vice versa.

Note: Under the revised AML grant program, unless additional funding is required, changes to a specific construction project or the addition of a new project which fits the broad scope or objectives of the original construction budget/cost category will not require a formal amendment to the grant. However, these changes or additions may require NEPA compliance.

5-30A-40 (Continued)

B. An agreement amendment may be initiated by either the recipient or OSM. However, both parties must be in agreement with the amendment terms. The amendment is effective upon the signature of the FOD, or his authorized representative, and applies to the entire grant period unless otherwise stated. The approved amendment becomes part of the original agreement. Multiple changes should be made by a single amendment whenever possible. Agreement amendments are sequentially numbered.

C. Submittal and Approval of Amendments.

1. Recipients shall submit one original and two copies of the changes to the previously approved application precipitating the amendment request. The amendment request shall include: the application facesheet, SF 424, indicating the type of change in item 8; program narrative statement, OSM 51, providing a narrative justification for the requested change; and, as appropriate, the revised budget information report, OSM 49.

Note: Amendments closing the administrative budget/cost category also require submittal of an OSM-60, Report of Government Property, to transfer accountability for grantee-purchased property to the next administrative budget/cost category and a separate OSM-60 to request disposition instructions for federally-owned property. (See chapter 5-70A for instructions on completing the OSM-60.)

2. All amendments shall be processed in accordance with the provisions in Chapter 5-20A-20. However, amendments not involving a change in funding do not require the submission of a NIDS.
3. Review and approval actions shall be documented in an amendment findings and recommendations memorandum (see Exhibit X5-30A-1).

AML GRANT PROGRAM
POST AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

EXHIBIT X5-30A-1

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United State Department of the Interior
Office of Surface Mining Reclamation and Enforcement

Memorandum

To: Field Office Director

Through: _____

From: _____

Subject: Grant Amendment Findings and Recommendations

1. GRANT SUMMARY

A. Current

State: _____ Grant No.: _____

Type of Grant: _____

Total Program Amount (Federal and State Share): _____

Current Grant Period: _____

B. Amendment Request

Type of Amendment Request: _____

Amount of Amendment Request (Federal Share): _____

Revised Total Amount (Federal and State Share): _____

Revised Grant Period: _____

AML GRANT PROGRAM
POST AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

EXHIBIT X5-304-1
PAGE 5

II. CRITICAL DATES (Milestones During the Review)

<u>Event</u>	<u>Date</u>
Application received	_____
Application & NIDS sent to AD-SC	_____
Acknowledged receipt to State	_____
Downtime (please explain below)	_____
Application determined administratively complete	_____
Funding check requested from AD-SC	_____
Confirmation of funding availability received	_____
{Other pertinent events}	_____
_____	_____

III. RECOMMENDED ACTION



CHAPTER 5-30R
REGULATORY GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

5-30R-00	Purpose
10	Applicability
20	OSM Policy
30	Budget Changes
40	Programmatic Changes
50	Requirements for Approval of Changes
60	Guidance on Scope Changes

5-30R-00 PURPOSE

- A. The requirements for prior approvals for changes to grants are established in the Grants Management Common Rule (codified by the Department of the Interior at 43 CFR Part 12, Subpart C).
- B. This chapter provides OSM policy and procedures when requiring recipients to report and request approval for changes to grants.

5-30R-10 APPLICABILITY

This chapter is applicable to all grants and cooperative agreements awarded by OSM.

5-30R-20 OSM POLICY

- A. Amendments, revisions and other proposed changes in the official agreement shall be submitted for OSM approval in advance of the actual change or obligation. By incurring costs prior to approval of an amendment, the recipient takes the risk that Federal funding may not be available or allowed.
- B. No request for a change to a grant (e.g., extensions of time, additional funding) received after the scheduled expiration date will be honored unless there are unforeseen circumstances not under the direct control of the recipient. Such extenuating circumstances must be justified to the satisfaction of the FOD.
- C. Requests for extensions of the performance period must be received by OSM at least 45 days prior to the scheduled expiration date. OSM will honor only one extension of the normal period of performance and the extension may not be for more than one year, unless special or unusual

REGULATORY GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

PAGE 2

5-30R-20 (Continued)

circumstances are adequately justified to the FOD. This policy does not apply when the original grant is awarded for less than the normal performance period due to budget constraints and, as funds become available, the grant is extended to its normal performance period.

5-30R-30 BUDGET CHANGES

In accordance with the Grants Management Common Rule, the following changes require prior written approval of OSM:

A. Nonconstruction Grants

1. Any revision which would result in the need for additional funding.
2. Cumulative transfers among direct cost categories, or, if applicable, among separately budgeted programs, projects, functions, or activities which exceed or are expected to exceed ten percent of the current total approved budget, whenever OSM's share exceeds \$100,000.
3. Transfer of funds allotted for training allowances (i.e., from direct payments to trainees to other expense categories).

B. Combined Construction and Nonconstruction Grants

When a grant or subgrant provides funding for both construction and nonconstruction activities, the grantee or subgrantee must obtain prior written approval from OSM before making any fund or budget transfer from nonconstruction to construction or vice versa.

C. Additional Prior Approval Requirements

OSM may not require prior approvals for any budget change which is not described in the Grants Management Common Rule.

5-30R-40 PROGRAMMATIC CHANGES

in accordance with provisions in the Grants Management Common Rule, grantees or subgrantees must obtain the prior approval of OSM whenever any of the following actions is anticipated:

- A. Any revision of the scope or objectives of the grant (regardless of whether there is an associated budget revision requiring prior approval).
- B. Need to extend the period of performance.
- C. Changes in key persons in cases where specified in an application or a grant award. In research grants, a change in the project director or principal shall always require approval unless waived by OSM.
- D. Under nonconstruction grants, contracting out, subgranting (if authorized by law) or otherwise obtaining the services of a third party to perform activities which are central to the purposes of the award. This approval requirement is in addition to the approval requirements of the Grants Management Common Rule, but does not apply to the procurement of equipment, supplies and general support services.

5-30R-50 REQUIREMENTS FOR APPROVAL OF CHANGES

A. Revisions to the Grant (Not Requiring Formal Amendment)

- 1. The following changes are considered revisions to an approved grant and may be approved by letter:
 - a. Under nonconstruction grants, cumulative transfers among direct cost categories exceeding ten percent of the current total approved budget. Once the recipient has obtained approval for the ten percent transfer, the recipient may transfer up to an additional ten percent of the grant without the need for OSM approval.

Transfers that do not exceed ten percent of the total grant amount should be documented by the recipient by submission of revised budget information form, OSM 47, at the time the next performance report is submitted.

REGULATORY GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

PAGE 4

5-30R-50 (Continued)

- b. Changes in key persons when specified in the grant award.
 - c. Transfer of funds allotted for training allowances;
 - d. Under nonconstruction grants, contracting out, subgranting (if authorized by law) or otherwise obtaining the services of a third party to perform activities which are central to the purposes of the award.
2. Submittal and Approval of Revision Request
- a. Recipients shall submit a letter requesting the needed revision, including a narrative justification and, if appropriate, a revised Budget Information Report. OSM 47. Upon approval, this information will become part of the official agreement.
 - b. No later than 15 days from the date of receipt of the revision request, OSM must review the request and notify the recipient whether or not the request has been approved. If the request is still under consideration at the end of 15 days, OSM will inform the recipient in writing when a decision on the request may be expected and the reasons for the delay in the decision.
3. Processing
- a. Upon approval of the revision request, the FOD shall transmit a copy of the revision package and the approval letter to the appropriate AD-SC.
 - b. The AD-SC shall transmit the revised OSM 47 to DFM.

B. Amendments to an Approved Grant

- 1. The following changes require a formal amendment to an approved OSM grant award:
 - a. The need for additional funding;
 - b. The need to deobligate funds prior to the end of the performance period;

REGULATORY GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

PAGE 5

5-30R-50 (Continued)

- c. When providing funding for both construction and nonconstruction activities, making any fund or budget transfer from nonconstruction to construction and vice versa;
 - d. Any revision of scope or objectives of the grant; and
 - e. The need to extend the period of performance.
 2. An agreement amendment may be initiated by either the recipient or OSM. However, both parties must be in agreement with the amendment terms. The amendment is effective upon the signature of the FOD, or his authorized representative, and applies to the entire grant period unless otherwise stated. The approved amendment becomes part of the agreement and supersedes that part of the original agreement. Multiple changes should be made by a single amendment whenever possible. Agreement amendments are sequentially numbered.
 3. Submittal and Approval of Amendments
 - a. Recipients shall submit one original and two copies of the changes to the previously approved application precipitating the amendment request. The amendment request shall include: the application facesheet, SF 424, indicating the type of change in item 8; project approval information; program narrative statement; OSM 51; providing a narrative justification for the requested change; and, as appropriate, the revised budget information report, OSM 47.
 - b. All amendments shall be processed in accordance with the provisions in Chapter 5-20-30R. However, amendments not involving a change in funding or addition of projects do not require the submission of a NIDS.

REGULATORY GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

PAGE 6

5-30R-60 GUIDANCE ON CHANGES IN SCOPE

- A. A scope change is a programmatic change in the work to be performed under a grant or cooperative agreement that is outside the range of work contemplated at the time of award and has the potential for affecting the successful completion of grant activities. A scope change requires a formal amendment to the agreement.

- B. Under OSM nonconstruction grants, examples of scope changes are the wholesale contracting out of inspection and enforcement or permitting functions and the transfer to another entity of substantial amounts of program responsibility. Conversely, changes in key personnel, reorganizations, changes in office locations or changes in administrative systems (e.g., use of a new accounting system) are not considered changes in scope warranting a formal agreement amendment.

REGULATORY GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

EXHIBIT X5-30R-1
PAGE 7

**United States Department of the Interior
Office of Surface Mining Reclamation and Enforcement**

Memorandum

To: Field Office Director

Through: _____

From: _____

Subject: Grant Amendment Findings and Recommendations

I. GRANT SUMMARY

A. Current

State: _____ Grant No.: _____

Type of Grant: _____

Total Amount (Federal and State Share): _____

Current Grant Period: _____

B. Amendment Request

Type of Amendment Request: _____

Amount of Amendment Request (Federal Share): _____

Revised Total Amount (Federal and State Share): _____

Revised Grant Period: _____

Recommended Action: _____

REGULATORY GRANT PROGRAM
POST-AWARD CHANGES THAT REQUIRE PRIOR APPROVAL

EXHIBIT X5-30R-1
PAGE 8

II. CRITICAL DATES (Milestones During the Review)

<u>Event</u>	<u>Date</u>
Application received	_____
Application & NIDS sent to AD-SC	_____
Acknowledged receipt to State	_____
_____	_____
_____	_____
Downtime (please explain in Section III)	_____
Application determined administratively complete	_____
Funding check requested from AD-SC	_____
Confirmation of funding availability received	_____
_____	_____
_____	_____

III. ADDITIONAL INFORMATION/SPECIAL CONSIDERATIONS

See Exhibit X5-20R-3 for instructions

CHAPTER 5-40
THE AWARD PROCESS

5-40-00	Purpose
10	Responsibilities
15	Procedures

5-40-00 PURPOSE

This chapter sets forth the AML and Regulatory grant award presignature, postsignature, and notification procedures to be followed by the Assistant Directors for Support Centers (East and West), the Field Offices and Headquarters.

5-40-10 RESPONSIBILITIES

- A. The Field Office is responsible for approving all grants and cooperative agreements and advising the State/Tribal Agency of such approval.
- B. The Assistant Directors for Support Centers (AD-SC) are responsible for coordinating the presignature and postsignature procedures within OSM Headquarters and Field Offices.
- C. Public Affairs Office (PAO) is responsible for determining the need for press releases, their preparation, and coordination.
- D. The Congressional Liaison Officer (CLO) is responsible for coordinating as necessary with the Assistant to the Secretary for Congressional Affairs and the Assistant Secretary, Land and Minerals Management and informing the appropriate congressional delegations.

5-40-15 PROCEDURES

- A. Grant Award Process. Exhibits X5-40-1 thru 3 display the procedures for awarding grants under \$100,000, greater than \$100,000 and less than \$1,000,000 and up.
- B. Obligation of Funds Process. Upon receipt of the award package, the AD-SC prepares and signs the obligation document (MB 212) and forwards it along with a copy of the FOD signed grant award document to the DFM. DFM enters the obligation of funds and coordinates with the Department of the Treasury for the necessary transfer of funds.

C. Final Actions

1. The AD-SC sends a copy of the signed MB 212 to the FO, DRP or AML as appropriate.
2. The FO sends a copy of the FOD-signed award document to the State for countersignature. Upon receipt of the State-signed award document, the FO sends a copy to AD-SC and DFM.

THE AWARD PROCESS

EXHIBIT X5-40-1
PAGE 3

WORKFLOW
Grants \$100,000 or Less

Step	Lead	Action
1	FOD	Receives grant application. Prepares News Item Data Sheet (NIDS). Mails application and NIDS to AD-SC within five days after receipt of application.
2	AD-SC	Reviews NIDS.
3	OSM-CL	Prepares State Specific Congressional Representation/Suggested Distribution Sheet. Provides NIDS and Congressional Representation/Suggested Distribution Sheet to Assistant Secretary for Land and Minerals Management (AS-LMM). Telephones AD-SC if OSM Headquarters or AS-LMM desires to make announcement, issue news release, or take other action (e.g., ceremony, photo opportunity).
4	AD-SC	Telephones FOD if any special arrangements are appropriate.
5	FOD	Completes review of grant application.
6a	FOD	Seven days prior to target date for signing grant award (listed on NIDS), telephones AD-SC to confirm, reestablish, or put a hold on the target award date; telefaxes AD-SC revised NIDS information (other than a revised target award date). Prepares <u>local</u> news release, with AD-SC assistance and approval, if PA has not provided notification of any planned Headquarters action.
6b	AD-SC	Seven days prior to target date for signing grant award (listed on NIDS), telefaxes NIDS to PA and CL, and telephones CL to confirm the target award date.
7	CL/External Affairs	Notifies appropriate Congressmen, Governors, others of scheduled award.

REGULATORY GRANT PROGRAM
THE AWARD PROCESS

EXHIBIT X5-40-1
PAGE 4

WORKFLOW
Grants \$100,000 or Less

Step	Lead	Action
8	FOD	Signs award; mails award package to AD-SC. Three days after signing award, mails copy of award document to State/Tribe and issues local news release, if appropriate.
9	AD-SC	Receives award package; completes paperwork to obligate funds

WORKFLOW
Grants Greater Than \$100,000 and Less Than \$1,000,000

Step	Lead	Action
1	FOD	Receives grant application. Prepares News Item Data Sheet (NIDS). Mails application and NIDS to AD-SC within five days after receipt of application.
2	AD-SC	Reviews NIDS.
3a	PA	Prepares news release or fact sheet, as appropriate. Notifies CL of action being taken.
3b	CL	Prepares State-specific Congressional Representative/Suggested Distribution Sheet. Provides NIDS, advance draft news release, if any, and Congressional Representation/Suggested Distribution Sheet to AS-LMM. Telephones AD-SC if OSM Headquarters or AS-LMM desires to make announcement, issue news release, or take other action (e.g., ceremony, photo opportunity).
4	AD-SC	Telephones FOD if any special arrangements are appropriate.
5	FOD	Completes review of grant application.
6a	FOD	Seven days prior to target date for signing grant award (listed on NIDS), telephones AD-SC to confirm, reestablish, or put a hold on the target award date; telefaxes AD-SC revised NIDS information (other than a revised target award date).
6b	AD-SC	Seven days prior to target date for signing grant award (listed on NIDS), telefaxes NIDS to PA and CL, and telephones CL to confirm the target award date.
7	PA	Completes news release clearance through OSM and informs CL of upcoming action.

THE AWARD PROCESS

EXHIBIT X5-40-2
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WORKFLOW

Grants Greater Than \$100,000 and Less Than \$1,000,000 (continued)

Step	Lead	Action
8	CL/External Affairs	Notifies appropriate Congressmen, Governors, others of scheduled award.
9	FOD	Signs award; mails award package to AD-SC.
10	PA	Issues news release, if appropriate, with two-day lead time for Hill before distribution by OSM.
11	FOD	Three days after signing award, mails copy of award document to State/Tribe.
12	AD-SC	Receives award package; completes paperwork to obligate funds.

THE AWARD PROCESS

EXHIBIT X5-40-3
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WORKFLOW
Grants \$1,000,000 and Up

Step	Lead	Action
1	FOD	Receives grant application. Prepares News Item Data Sheet (NIDS). Mails application and NIDS to AD-SC within five days after receipt of application.
2	AD-SC	Reviews NIDS.
3a	PA	Prepares draft news release and circulates for surnames, provides copy to CL and telefaxes copy to appropriate AD-SC and FOD.
3b	CL	Prepares State-specific Congressional Representation/Suggested Distribution Sheet. Provides NIDS, advance draft news release and Congressional Representation/Suggested Distribution Sheet to AS-LMM. Telephones AD-SC if OSM Headquarters or AS-LMM desires to make announcement, issue news release, or take other action (e.g., ceremony, photo opportunity).
4	AD-SC	Telephones FOD if any special arrangements are appropriate.
5	FOD	Completes review of grant application.
6a	FOD	Seven days prior to target date for signing grant award (listed on NIDS), telephones AD-SC to confirm, reestablish, or put a hold on the target award date; telefaxes AD-SC revised NIDS information (other than a revised target award date).
6b	AD-SC	Seven days prior to target date for signing grant award (listed on NIDS), telefaxes NIDS to PA and CL, and telephones CL to confirm the target award date.
7	PA	Completes news release clearance through OSM and informs CL of upcoming action.

THE AWARD PROCESS

EXHIBIT X50-40-3

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WORKFLOW

Grants \$1,000,000 and Up (continued)

Step	Lead	Action
		Sends cleared news release to AS-LMM with notification of scheduled award date. Sends AD-SC and FOD a copy of cleared news release.
8	AS-LMM	Determines recommended news release date/other action (e.g., ceremony, Secretarial calls); and informs PA of award timing; informs CL of approved distribution. Notifies Interior PA of recommended release date.
9	Interior PA	Clears news release; notifies AS-LMM and PA of news release date.
10	PA	Notifies AD-SC of release date and any other communication actions selected.
11	AD-SC	Two days prior to scheduled award date, contact CL to confirm that all Headquarters actions are completed, and to get clearance to sign grant on scheduled date.
12	CL/External Affairs	In accordance with any special arrangements made with AS-LMM, notifies appropriate Congressmen, Governors, others of scheduled award.
13	AS-LMM	Handles any special arrangements relating to award.
14	FOD	Signs award; mails award package to AD-SC.
15	Interior PA	Issues press release.
16	FOD	Three days after signing award, mails copy of award document to State/Tribe (unless alternative arrangements have been made by AS-LMM).
17	AD-SC	Receives award package; completes paperwork to obligate funds.