

# INDIAN AFFAIRS DIRECTIVES TRANSMITTAL SHEET

(modified DI-416)

DOCUMENT IDENTIFICATION NUMBER 1 IAM 1	SUBJECT Indian Affairs Directives System - General	RELEASE NUMBER # 07-50
FOR FURTHER INFORMATION Office of Planning and Policy Analysis		DATE APR 23 2006

**EXPLANATION OF MATERIAL TRANSMITTED:**

The Indian Affairs (IA) Directives System provides a formal means of communication to support consistent application of policies and procedures, and provides the structure for producing and publishing clear and consistent program policy.



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**FILING INSTRUCTIONS:**

Remove: 1 IAM 1, # 99-06, 10/25/99

Insert: 1 IAM 1

# INDIAN AFFAIRS MANUAL

- 1.1 Purpose.** The Indian Affairs (IA) Directives System provides a formal means of communication to support consistent application of policies and procedures, and provides the structure for producing and publishing clear and consistent program policy.
- 1.2 Scope.** The Directives System contains policies for all functions under the authority of the Assistant Secretary of Indian Affairs (AS-IA), including AS-IA, Bureau of Indian Affairs (BIA), and Bureau of Indian Education (BIE).
- 1.3 Policy.** Directives are required to satisfy federal requirements for accurate and accessible documentation made available to staff and the public, and to provide instructions and guidance to enable employees to perform their duties and responsibilities.
- 1.4 Authority.**
- A. The Federal Records Act (44 U.S.C. 3101),** requires the head of each Federal agency to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency. The records should be designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.
  - B. The Public Information section of the Administrative Procedure Act (5 U.S.C. 552)** requires that the following information be made available to the public: descriptions of the organization, where and how information and decisions can be secured, what and how functions are performed, what requirements must be met to get benefits or service, and what procedures must be followed.
  - C. Provisions of the Federal Information Resources Management regulations (41 CFR 201), and Departmental Manual 381 DM 1** require that Indian Affairs provide proper documentation of its organization, functions, policies, and procedures.
  - D. Section 508 of the Rehabilitation Act, 29 U.S.C. § 794d. 1998.** Federal agencies' electronic and information technology will be accessible to people with disabilities, including employees and members of the public.
- 1.5 Guidance.** The Indian Affairs Directives Handbook (1 IAM-H, April 2008), provides instructions and examples to assist those who produce policies and supporting documents that affect IA programs and activities. It includes templates and examples for formatting, handbook cover (title) pages, Transmittal sheets and Clearance Records, and instructions for footnoting. The handbook is on the BIA intranet <http://inside.bia.gov/> at Directives > Current Directives > Handbooks, or can be obtained by contacting the Office of Planning and Policy Analysis, 2051 Mercator Drive, Reston, Virginia, 20191.
- 1.6 Components.** The Indian Affairs Directives System includes the following components:
- A. The Indian Affairs Manual (IAM)** contains the current policies and directives of Indian Affairs. The IAM is organized into sections called Parts, which are the major functions and programs (for example, Budget, Trust, Forestry) under the authority of the

Assistant Secretary of Indian Affairs. Each Part is further divided into chapters, which describe (in general) *what you do* and *under what authority you do it*. Compliance with the Manual is mandatory for all Indian Affairs employees.

**B. Regional Directives (RDs)** are companions to IAM chapters - providing additional information and instructions that apply to employees within the jurisdiction of Regional Offices. Although they convey additional instructions that may apply only to specific regions, RDs must not conflict with established IA policies and procedures. Regional directives are identified by regional office letter codes added to the document identification number (for example, 28 IAM 7 - MW).

**C. Handbooks (H)** are also companions to IAM chapters, providing a greater level of detail regarding the processes and procedures IA employees use to perform their duties (*how you do what you do*). Handbooks provide more detailed information than is appropriate for IAM chapters.

**D. National Policy Memoranda (NPM)** are temporary policies which provide interim guidance regarding the duties and responsibilities of IA employees. They are valid for one year, and can be extended for one year, after which the policies published in NPMs are either incorporated into an IAM chapter, superseded, or cancelled. National policy is established, amended, or ended only in writing and only by the Assistant Secretary, the Principal Deputy Assistant Secretary, a Deputy Assistant Secretary, the Director, BIA, or the Director, BIE.

**E. Regional Policy Memoranda (RPM)** are temporary policies which adapt interim national policy to circumstances unique to particular regions. RPMs are effective for one year and can be extended for one year, after which the policies published in RPMs should be incorporated into a Regional Directive, or superseded by updated guidance. Regional policy cannot conflict with or supersede national policy.

**F. Assistant Secretary's Orders (ASO).** are temporary directives by which the Assistant Secretary may issue delegations of authority, special assignment of functions, establish new organizational units, and convey emergency directives. ASO provisions remain in effect for one year unless extended, revoked, or incorporated into the Indian Affairs Manual. ASOs are signed only by the Assistant Secretary, the Principal Deputy Assistant Secretary, or an Acting Assistant Secretary.

## 1.7 Responsibilities.

**A. Office of Planning and Policy Analysis (OPPA)** provides guidance and assistance for the development of manuals, official memoranda, and handbooks which establish Indian Affairs program and administrative policies and procedures. OPPA assigns release numbers and document identification numbers; reviews documents for format and proper delegation of authority; and coordinates any recommended changes or corrections with the authoring office. When the document is final and signed off by the appropriate officials, it is returned to OPPA to stamp the document with date of issue (date of approving official signature), enter it into the records management system, and forward for publication to the Intranet.

**B. IA Offices** (including Offices under the Assistant Secretary-Indian Affairs, Central Office, Regional and Agency Offices, and Districts) are responsible for maintaining current policies, revising existing chapters, and removing outdated information.

The authoring Office is responsible for developing content; circulating drafts for internal review and comment; preparing the Transmittal Sheet and Clearance Record for the documents' formal review and concurrence; and ensuring the material is appropriately distributed in electronic or printed format.

### 1.8 Definitions.

**A. Clearance Record (Form DI 228).** The Clearance Record is used during the final review and signature process (surnaming) to document concurrence by each reviewing official. Content should be carefully reviewed before a document is signed off. Instructions and examples for completing the Clearance Record are in the Directives Handbook.

**B. Directive.** A means of written communication that conveys policy, initiates or governs actions, conduct, or procedures.

**C. Directives Management.** The effective and efficient process of controlled directives and their distribution, use, maintenance, and disposition.

**D. Document Identification Number.** The document identification number is the unique identification number for the type of directive being issued. Instructions for constructing the document identification number are in the Directives Handbook.

**E. Indian Affairs (IA).** Includes the Offices of the Assistant Secretary - Indian Affairs (AS-IA), the BIE, and the BIA. The organization and functions of the components of Indian Affairs are described in 110 DM 8, 130 DM 8 and 130 DM 9.

**F. Proper Documentation.** Identifying what information needs to be created or received to provide documented evidence of carrying out official responsibilities; managing the organization; and meeting the Department's legal responsibilities.

**G. Transmittal Sheet (Form DI 416).** The Transmittal Sheet accompanies a document in the review and signature process; provides primary point of contact information (usually the author); and contains a brief summary of the material. Instructions for completing Transmittal sheets are in the Directives Handbook.