

INDIAN AFFAIRS DIRECTIVES TRANSMITTAL SHEET

(modified DI-416)

DOCUMENT IDENTIFICATION NUMBER 1 IAM 3	SUBJECT Indian Affairs Directives System - the Indian Affairs Manual	RELEASE NUMBER # 07-51
FOR FURTHER INFORMATION Office of Planning and Policy Analysis		DATE APR 23 2008

EXPLANATION OF MATERIAL TRANSMITTED:

The Indian Affairs Manual contains the current policies and directives of the major functions and programs under the authority of the Assistant Secretary of Indian Affairs. Each chapter describes (in general) what each program or functional area does and under what authority they do it.



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FILING INSTRUCTIONS:

Remove: 1 IAM 3, 10/25/99

Insert: 1 IAM 3

INDIAN AFFAIRS MANUAL

1.1 Purpose. The primary purpose of the Indian Affairs Manual is to communicate management instructions and information. Policies, procedures, and general guidance for Indian Affairs (IA) employees necessary to govern internal Indian Affairs operations are published in the Indian Affairs Manual (IAM).

1.2 Scope. The IAM includes organizational descriptions, delegations of authority, and the general policies and procedures for each Indian Affairs function or program. Compliance with the Manual is mandatory for Indian Affairs employees.

Tribal governments or tribal organizations operating Indian Affairs programs under grants, contracts or compacts authorized by the Indian Self Determination and Education Assistance Act, as amended (25 U.S.C. §450 *et seq.*) may be required to comply with policies and procedures if required by statute or regulation. Any policies which are applicable to tribal contractors, grantees, or compactors will clearly state the statutory or regulatory basis requiring compliance.

1.3 Policy. The Indian Affairs Manual contains the current policies and directives of the functions and programs under the authority of the Assistant Secretary of Indian Affairs. Each chapter describes (in general) what each program or functional area does and under what authority they do it.

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. 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 services, and what procedures must be followed.

C. Departmental Manual 381 DM 1 requires that Indian Affairs provide proper documentation of its organization, functions, policies, and procedures.

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.

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1.6 Chapter Content. IAM chapters are intended to convey basic requirements and should generally be limited to a few pages. The complexity of the respective functional area or program will determine the length of a chapter. Sections common to each chapter include:

A. Purpose. The purpose of the chapter is stated in general terms, with a brief description of the objectives of the program or functional area.

B. Scope. Identifies who and what functions are covered by the policy.

C. Policy. This section is written as a statement and conveys the policies which govern actions, conduct, processes, or procedures.

D. Authority. The authority to perform IA functions and responsibilities is derived from specific legislation or Departmental directive. In accordance with what statute, regulation, or under what authority do you make policy or have the ability to enforce it.

E. Responsibilities. This section indicates which office is responsible for carrying out the particular elements of policy statements.

1.7 Style. The IAM is organized into sections called Parts, which are the major functions and programs under the authority of the Assistant Secretary-Indian Affairs (for example; Trust, Education, Forestry). Each Part is further divided into chapters, which describe in general what each program or functional area does and under what authority they do it.

IAM chapters should be written in plain language which is simple, and easily understood. Technical language may be included in a handbook for a specific group of employees trained for a specific task, but in general, technical language and legal jargon should be avoided. Acronyms should be used sparingly and only after the complete words for the acronym have been spelled out the first time it is used in a document.

1.8 Responsibilities.

A. Deputy Assistant Secretaries; Director, Bureau of Indian Affairs (BIA); and the Director, Bureau of Indian Education (BIE) are responsible for ensuring that the information in the IAM chapters for the programs and functions within their authority is accurate and up-to-date.

B. Indian Affairs 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 or updating IAM chapter 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.

C. 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.

D. Signature Authority. Officials with the authority to sign IAM chapter releases are: the Assistant Secretary-Indian Affairs; the Principal Deputy Assistant Secretary (PDAS); the Deputy Assistant Secretary (DAS); the Director, BIA; and Director, BIE.

1.9 Definitions.

A. Clearance Record (Form DI 228). The Clearance Record is used during the final review and signature (surnaming) process 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.