

## Department of the Interior Departmental Manual

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**Series:** Organization

**Part 110:** Office of the Secretary

**Chapter 26:** Office of the Special Trustee for American Indians

**Originating Office:** Office of the Special Trustee for American Indians

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### 110 DM 26

**26.1 General.** The Office of the Special Trustee for American Indians was created by the American Indian Trust Fund Management Reform Act of 1994 (Public Law 103-412). The Office (headquartered in Albuquerque, New Mexico) oversees fulfillment of the Department of the Interior's (DOI) trust responsibilities to American Indians and Alaska Natives. The Special Trustee (based in Washington, DC with support staff) advises the Secretary on Individual Indian Money (IIM) and Tribal Trust Fund accounts and manages and directs the staff within the Office of the Special Trustee for American Indians (OST) with the assistance of a Principal Deputy Special Trustee. The Principal Deputy Special Trustee (based in Albuquerque, NM) acts in the absence of the Special Trustee and discharges the responsibilities of the Office, including administering the Freedom of Information Act (FOIA) and Privacy Act (PA) functions for OST. All offices and organizations in OST report through the Principal Deputy Special Trustee to the Special Trustee except the Office of Trust Review and Audit (OTRA) and the Office of Appraisal Services (OAS), which report directly to the Special Trustee. (See attached organization chart.) OST has 3 organizations – Field Operations, the Office of Appraisal Services and the Office of Trust Records that, while managed from headquarters, are based in the field. The organizations and functions of OST are described below.

### 26.2 Offices Reporting to the Principal Deputy Special Trustee.

A. The Chief Information Officer (CIO). The CIO is responsible for Information Technology (IT) for OST nationwide and oversees and directs IT support services including technical support, capital planning and acquisition of IT equipment, IT security, and electronic and hard copy records management activities. The CIO ensures interface with other systems and develops a strategic plan to support the OST business processes and manages IT services in accordance with Departmental IT directives. The CIO reviews all IT expenditures for OST to ensure that adequate resources are available to support trust activities. The CIO also coordinates acquisition requests for procurement/expenditures in accordance with Departmental guidelines, enterprise architecture, and capital planning.

(1) Office of Trust Records (OTR). The Director of OTR reports to the CIO and is responsible for the managing records programs consistent with requirements set forth in

44 U.S.C. Chapter 31, for Indian Affairs (of Bureau of Indian Affairs (BIA), Bureau of Indian Education (BIE), Assistant Secretary - Indian Affairs, and OST). OTR also manages the Department's fiduciary trust records in concert with OST, BIA, Minerals Management Service (MMS), Bureau of Land Management (BLM), and the Office of Hearings and Appeals (OHA). The OTR coordinates its activities with offices and agencies such as the Office of the Solicitor, the National Archives and Records Administration (NARA), the Department of Justice, and the Office of Management and Budget. The Director, OTR, serves as the Department's designated official responsible for authorizing access to Indian trust records at the American Indian Records Repository (AIRR).

(a) Division of Records Management Policies, Procedures and Training.

The Division Chief reports to the Director, OTR, and is responsible for managing a nationwide records program that is in conformity with the legal obligations of the trust relationship between the Federal government and American Indians. The division is responsible for the development, issuance, and implementation of Department-wide trust records programs, regulations, and policies based on life cycle management concepts and standards for hard copy and electronic records; and development and implementation of a field operations program that will implement records management responsibilities at BIA/OST regional and field locations. Program responsibilities address the creation, maintenance, receipt, delivery, custody and control, processing, inventory, database management, maintenance of Indian records and their accession and disposition, transfer, storage, security and safety to ensure document preservation in accordance with the Federal Records Act and NARA regulations, and other applicable laws and regulations. The division is also responsible for providing general and specialized records management training for hard copy and electronic records to BIA and OST staff and tribes; coordinating the scheduling of hard copy and electronic records; overseeing a program to ensure that modern information systems incorporate essential record keeping requirements and facilitate long-term internal and external uses of trust records; and identifying innovative solutions for managing electronic documents. The division develops working agreements with Interior bureaus/offices and other agencies and provides technical assistance to Indian tribes for P.L. 93-638 contracted and compacted programs to develop and implement a tribal records management program. The division establishes and provides training on vital records.

(b) Division of Records Management Operations. The Division Chief reports to the Director, OTR. The division is responsible for researching and providing documents to DOI's Office of the Solicitor, tribes, individual Indians, and other requesters. The division is also responsible for providing research service to OST and BIA personnel requiring documentation found in OST records located at the American Indian Records Repository (AIRR) in Lenexa, Kansas. The division is also responsible for design, installation, training, implementation, and maintenance of automated systems that support the overall records management, storage and retrieval and litigation support program requirements. These automated systems include records inventories and litigation databases used for researching and controlling large document collection.

(2) Office of Information Technology Services. The office reports to the CIO and develops policies, procedures, and guidelines for the management and deployment of information technology assets and management of electronic records. Information technology

(IT) policies support Departmental initiatives for a comprehensive information technology investment framework for expenditures, technology management, information and telecommunications management, inventory, asset management, and security. IT reviews are conducted to ensure compliance with all directives and with security management initiatives. The office provides daily OST data systems support to ensure proper maintenance of existing systems to support the OST operational requirements. Support includes testing and implementing automated trust funds financial systems and providing technical support for trust funds aspects of automated data processing. The office also ensures necessary interface with other systems in BIA, MMS, tribal operations, and other offices in the Department.

B. Office of Budget, Finance and Administration. The office is responsible for all aspects of the OST budget, strategic planning, Activity Based Costing (ABC), and Government Performance and Results Act (GPRA) measurement. It coordinates finance, procurement, and personnel activities. The office performs all administrative functions within OST, including property, space, facilities support, and mailing trust fund disbursements.

C. Office of External Affairs. The Office of External Affairs (OEA) is responsible for developing messages for public outreach, managing internal and external communications, supporting Indian self-governance and self-determination, and serving as congressional liaison for Indian trust management issues.

**26.3 Deputy Special Trustee -Trust Accountability.** The Deputy Special Trustee - Trust Accountability reports to the Principal Deputy Trustee and manages and supervises the Office of Trust Training; the Office of Trust Regulations, Policies, and Procedures; and the Trust Program Management Center.

A. Office of Trust Training. The office is responsible for developing and coordinating training for employees in support of fiduciary trust fund activities; and ensuring proper accreditation of staff in all professional series and/or accreditation required for the performance of specific duties and responsibilities.

B. Office of Trust Regulations, Policies, and Procedures. The office is responsible for drafting, finalizing, and publishing trust-related regulations, policies, and procedures for OST; coordinating policies and procedures for implementing regulatory requirements; and promulgating and integrates trust policy into all business processes and coordinates trust procedures with internal and external organizations involved with trust activities.

C. Trust Program Management Center. The center manages trust reform projects, performs business process modeling and ensures they are integrated into daily operations. The center ensures coordination of process realignment, design, and implementation with state-of-the-art technology and data management, coordinates universal support functions for trust processes and develops the trust business line strategy. Responsibilities also include developing policies, procedures, processes and management tools, monitoring risk management, and preparing and following up on findings and reports.

**26.4 Deputy Special Trustee - Field Operations.** The Deputy Special Trustee - Field Operations reports to the Principal Deputy Special Trustee and manages and supervises the Regional Trust Administrators and the Trust Beneficiary Call Center.

A. Regional Fiduciary Trust Administrators.

(1) Regional Fiduciary Trust Administrators (all of whom are based in Headquarters in Albuquerque, NM) report to the Deputy Special Trustee - Field Operations and provide technical assistance on trust matters. Their responsibilities include coordinating trust asset management activities with the BIA in their respective geographic area (6 - Regions); providing guidance to field staff in the examination, verification, and maintenance of accounts and accounting data for accounts; ensuring that general trust funds and judgment funds are received, recorded, and disbursed and/or maintained timely and accurately; and providing leadership and oversight to ensure timely, courteous, and accurate response to account holders. Regional Fiduciary Trust Administrators also supervise a staff of Fiduciary Trust Officers throughout Indian country.

(2) The Fiduciary Trust Officers are located with or in close proximity to BIA field locations. They work directly with the BIA Deputy Agency Superintendents - Trust Operations, to ensure a smooth flowing front line operation that is designed to enhance services to tribes, Individual Indian account holders, and other interested parties. Their responsibilities include reviewing and approving investment management plans and concurring with the BIA Deputy Agency Superintendents - Trust Operations actions that meet certain risk criteria; serving as primary points of contact for beneficiary services; and providing technical assistance on trust matters and ensure proper documentation for trust transactions.

B. Trust Beneficiary Call Center. The Center reports directly to the Deputy Special Trustee - Field Operations and is responsible for responding to inquiries from trust beneficiaries. The Call Center is located in OST's Headquarters in Albuquerque, NM and has access to various trust systems and operations staff in order to provide comprehensive account information to beneficiaries and complement local services.

**26.5 Deputy Special Trustee - Trust Services.** The Deputy Special Trustee - Trust Services manages and supervises the Office of Trust Funds Management, the Office of Trust Funds Investments, and the Office of Trust Reporting and Reconciliation.

A. Office of Trust Funds Management (OTFM). The OTFM is responsible for policies, standards, and procedures governing trust funds, including receipting, accounting, investing, and disbursing individual and tribal trust funds. The office operates and controls accounting activities that properly record all funds received, disbursed, invested, and held in trust for individual Indians and Indian tribes, providing centralized accounting services for all trust funds management activities. As necessary, OTFM works directly with field offices to ensure cash management supporting documentation is in compliance with governing policies and procedures.

B. Office of Trust Funds Investments (OTFI). The office provides investment management services for tribal trust funds and the IIM fund in accordance with applicable laws, regulations and policies. The office plans, develops, operates, and controls the buying, selling,

and trading of investment instruments. The division also provides technical advice and assistance on investment-related matters to Indian tribes, Fiduciary Trust Officers and OST senior management.

C. Office of Trust Reporting and Reconciliation (OTRR). The office reconciles subsidiary and controlled accounts and monitors trust funds activities at the OTFM and field levels. The office prepares internal and external financial accounting reports. It is also responsible for the accurate and timely preparation and submission of appropriate external reports and required tax forms. Reconciliation of trust funds activities include custodial management of proprietary data, compliance and interface with Treasury cash flow reports, and MMS and BIA receipt of funds and source documents. The office prepares and issues beneficiary statements of performance.

**26.6 Office of Trust Review and Audit.** The office reports directly to the Special Trustee. It is responsible for administering and managing the Indian trust compliance rating program to ensure that the Secretary's fiduciary trust responsibilities to Indian tribes and beneficiaries are fulfilled. Administering the Indian trust compliance rating program requires reviewing, auditing, conducting special investigations, and performing trust records assessments to evaluate the performance of Indian trust program operations, and fiduciary trust activities Department-wide. This office is also responsible for performing the annual trust evaluations for tribes pursuant to congressional mandate and the requirements of 25 CFR §1000.350. Administering the Indian trust compliance rating program specifically requires the identification of weaknesses in fiduciary trust operations, rating performance, reporting findings, issuing reports and recommendations, and coordinating corrective action follow-up activities Department-wide.

**26.7 Office of Appraisal Services.** The office reports to the Special Trustee. It provides impartial estimates of value for a variety of specific real property interests on land owned in trust or restricted status. Estimates are provided through a Deputy Chief Appraiser, Regional Appraisers and regional appraisal staff.