

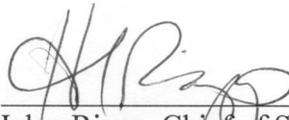
# OST DIRECTIVES TRANSMITTAL SHEET

(Modified DI -416)

DOCUMENT IDENTIFICATION NUMBER	SUBJECT	RELEASE NUMBER
010 DS 2	Office of the Special Trustee for American Indians (OST) Directives System Manual	13-03
FOR FURTHER INFORMATION		DATE
Office of the Principal Deputy Special Trustee		NOV 07 2013

**EXPLANATION OF MATERIAL TRANSMITTED:**

This chapter communicates management instructions and information by providing guidance for OST employees necessary to govern internal OST operations.



Helen Riggs, Chief of Staff  
Office of the Principal Deputy Special Trustee

**FILING INSTRUCTIONS:**

Remove: None

Insert: 010 DS 2

Office of the Special Trustee for American Indians  
**DIRECTIVES SYSTEM MANUAL**

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**1.1 Purpose.** The primary purpose of the OST Directives System (DS) Manual is to communicate management instructions and information. Policies, procedures, and general guidance for OST employees necessary to govern internal OST operations are published as part of the overall OST DS.

**1.2 Scope.** The OST DS Manual includes organizational descriptions, delegations of authority, and the general policies for each OST function or program. Compliance with the OST DS Manual is mandatory for OST employees and contractors.

Tribal governments or tribal organizations operating OST 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 mandated by statute or regulation. Policies applicable to tribal contractors, grantees, or compactors will clearly state the statutory or regulatory basis requiring compliance.

**1.3 Policy.** The OST DS Manual contains the current policies of the functions and programs under the authority of OST. Each chapter describes (in general) the operations of each program or functional area and under which authority they perform these operations.

**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, as well as the functions, policies, decisions, procedures, and financial transactions of the agency. The records produced by OST should be designed to furnish the information necessary to protect the legal and financial rights of the Government and the beneficiaries directly affected by the activities of the agency.

**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:

- 1) Descriptions of the organization.
- 2) Where and how information and decisions can be accessed.
- 3) What and how functions are performed.
- 4) Which requirements must be met to obtain services or benefits.

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

**1.5 Guidance.** The OST Directives System Handbook (010 DS 1-H) is designed to assist OST staff in the development of policies and supportive documents. The Handbook is comprised of instructions and templates as well as sample documents to guide OST staff in the production of documents that accurately reflect the activities of the agency. The

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Handbook can be viewed on the OST Internet website at <http://www.doi.gov/ost/index.cfm> under the documents tab, and on the OST Enterprise Portal, OST's Intranet website. A copy of the Handbook may also be obtained through the Office of Regulatory Affairs and Collaborative Action (RACA), 1001 Indian School Road NW, Suite 312, Albuquerque, NM 87104.

- 1.6 Chapter Content.** DS 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 which functions are covered by the policy.
  - C. Policy.** This section is written as a statement and conveys the policies that govern actions, conduct, processes, or procedures.
  - D. Authority.** The authority to perform OST functions and responsibilities is derived from specific legislation or Departmental directives. This section provides a citation for the statute, regulation, or other authority that the OST Program Office is relying upon to make policy or have the ability to enforce it.
  - E. Responsibilities.** This section indicates which OST Program Office is responsible for carrying out the particular elements of policy statements.
- 1.7 Style.** The OST DS Manual is organized into sections called Parts, which are the major functions and programs under the authority of the Special Trustee for American Indians (for example; Trust Services, Field Operations, Business Management, Program Management). Each Part is further divided into Chapters, which describe in general the operations of each program or functional area and under which authority these operations are performed. DS Chapters should be written in plain language that 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 Special Trustees (DSTs) and the Directors of the Office of Appraisal Services (OAS) and the Office of Historical Trust Accounting (OHTA)** as well as staff in charge of the functional areas for "Ethics" and "Policy and Core Plus" are responsible for ensuring that the information in DS Chapters for the programs and functions within their authority is accurate and up-to-date.

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- B. OST Program Offices** (including the OST Chief of Staff (COS), the DSTs and the program offices that report directly to the DSTs, to the Directors of OAS and OHTA) are responsible for maintaining current policies, revising existing Chapters, and removing outdated information. The authoring office<sup>1</sup> is responsible for developing and updating DS Chapter content, circulating drafts for internal review and comment, preparing the Transmittal Sheet and Clearance Record for the document's formal review and concurrence, and for ensuring the material is appropriately distributed in electronic or printed format.
- C. Office of Regulatory Affairs and Collaborative Action (RACA)** provides guidance and assistance for developing manuals, official memoranda, and handbooks that establish OST program policies and procedures. RACA assigns release numbers and document identification numbers, reviews documents for format and proper delegation of authority, and coordinates recommended changes/corrections with the authoring OST Program Office. Once the document is final and signed by the appropriate officials, it is returned to RACA to stamp the document with the date of issue (date of approving official's signature), enter it into the OST directives database system, and publish it on the OST public website and as well as OST's Intranet website.
- D. Signature Authority.** Officials with the authority to sign DS Chapter releases are: the OST COS, the DSTs, and the Directors of OAS and OHTA.

### 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. It provides primary point of contact information (usually the author). Content should be carefully reviewed before a document is signed. Instructions and examples for completing the Clearance Record are in the OST DS Handbook.
- B. Directive.** A means of written communication that conveys policy and initiates or governs actions, conduct, or procedures.
- C. Directives Management.** A method of effective and efficient processing of controlled directives and their distribution, use, maintenance, and disposition.
- D. Document Identification Number.** A unique identification number for the type of directive being issued. Instructions for constructing the document identification number are in the OST DS Handbook.

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<sup>1</sup> The functional areas of "Ethics" and "Policy and Core Plus" may also author DS Chapters. In doing so, these functional areas assume the same responsibilities for directives as the DSTs and Directors of OAS and OHTA, as specified throughout the OST Directives System Handbook (010 DS 1-H).

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- E. Proper Documentation.** Identifying information that 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.
  - F. OST Directives Transmittal Sheet (Form DI 416).** The Transmittal Sheet accompanies a document in the review and surname process. It contains a brief summary of the material. The Transmittal Sheet is signed only by the approving authority. Instructions for completing a Transmittal Sheet are in the OST DS Handbook.
  - G. Substantive Change.** A change to current, established OST policy, which constitutes a significant modification or expansion of the policy's existing nature and scope.
  - H. Non-Substantive Change.** For the most part a non-substantive change occurs when a policy is republished solely for the purpose of placing its content into a new format or for recognizing a change in position title or organizational designation.
- 1.10 Substantive vs. Non-Substantive Change & Affect upon the Surname Process.**
- A.** Every substantive change to an existing policy requires program offices to adhere to the totality of the draft, review, and surname processes as outlined in the OST DS Handbook.
  - B.** In instances **where an existing policy undergoes no substantive change** the draft and review phases of the policy remain the same as outlined in the OST DS Handbook. The **surname process, however, is abbreviated** to include only the Directives Transmittal Sheet and a signature by the approving authority. The transmittal and the updated policy are then submitted to RACA for final action and publication.