

OST DIRECTIVES TRANSMITTAL SHEET

(Modified DI -416)

DOCUMENT IDENTIFICATION NUMBER	SUBJECT	RELEASE NUMBER
010 DS 6	Desk Operating Procedures	13-07
FOR FURTHER INFORMATION		DATE
Office of the Principal Deputy Special Trustee		FEB 06 2014

EXPLANATION OF MATERIAL TRANSMITTED:

This chapter establishes the policy and responsibilities for Desk Operating Procedures (DOPs) within the Office of the Special Trustee for American Indians (OST), and is issued as a chapter of the OST Directives System (DS) Manual. This release also serves as notice that former DOP policy (010 OM 11), issued under the previous structure of OST directives, is superseded by the issuance of 010 DS 6.



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

FILING INSTRUCTIONS:

Replaces: 010 OM 11

Insert: 010 DS 6

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- 1.1 Purpose.** This chapter establishes the policy and responsibilities for Desk Operating Procedures (DOPs) within the Office of the Special Trustee for American Indians (OST).
- 1.2 Scope.** The standard procedures and practices set forth in each DOP are applicable to all OST employees, and employees of commercial firms under contract with OST, whose duties directly impact the maintenance of individual Indian and tribal trust fund accounts. Additionally, each OST program office that produces a DOP is solely responsible for all aspects of its development, maintenance and publication.
- 1.3 Policy.** Desk Operating Procedures provide detailed instructions to OST employees who perform required functions that directly affect individual and tribal account holder interests, and directly impact program processes within OST. Accordingly, DOPs are published only on the OST Intranet site, the OST Enterprise Portal, for use by OST employees. OST Program Offices¹ that produce DOPs are responsible for ensuring that the information in these documents conforms to the applicable statutes, regulations, and policies cited in the respective DOP.
- 1.4 Authority.**
- A. Statutes.**
- 1) **The American Indian Trust Fund Management Reform Act (25 U.S.C. 4001, et seq.)**, outlines the trust responsibilities of OST to the account holders, including individual and tribal account holders.
 - 2) **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 shall 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. Guidance.**
- 1) **Departmental Manual 381 DM 1** requires that OST provide proper documentation of its organization, functions, policies, and procedures.

¹ The purposes of DOPs are to:

1. Provide detailed instructions on processes needed to perform required functions by the programs within OST.
2. Ensure consistency in conformance to instructions that directly affect individual and tribal account holder interests.

Any OST Program Office or functional area may utilize DOPs to fulfill these purposes. *At this point in time only Trust Services and Field Operations produce DOPs.*

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1.5 Responsibilities.

- A. Deputy Special Trustee – Trust Services.** Each DOP produced by Trust Services staff will be reviewed and receive final approval (signature on Directives Transmittal) by the Deputy Special Trustee – Trust Services (DST-TS). In addition, the DST-TS is required to sign the Clearance Record of every OST DOP produced by an OST Program Office.
- B. Deputy Special Trustee – Field Operations.** Each DOP produced by Field Operations staff will be reviewed and receive final approval (signature on Directives Transmittal) by the Deputy Special Trustee – Field Operations (DST-FO). In addition, the DST-FO is required to sign the Clearance Record of every OST DOP produced by an OST Program Office.
- C. Deputy Special Trustee – Program Management.** Each DOP produced will be reviewed and receive clearance by the Deputy Special Trustee – Program Management (DST-PRM).
- D. Deputy Special Trustee – Business Management.** Each DOP produced will be reviewed and receive clearance by the Deputy Special Trustee – Business Management (DST-BSM).

1.6 Definitions.

- A. Clearance Record (Form DI 228).** The Clearance Record is used during the final review and approval process (surnaming) to document concurrence by each reviewing official. It provides primary point of contact information (usually the author). Content should be carefully reviewed before a signature is placed on the Clearance Record.
- B. Transmittal Sheet (Form DI 416).** The Transmittal Sheet accompanies a DOP in the review process, and contains a brief description (summary) of the material. In the event the DOP contains a change to previously established content, the description on the Transmittal Sheet should highlight the major change(s), and include an explanation of the reason for the change.
- C. Desk Operating Procedures.** For purposes of this Chapter, DOPs are lengthy sets of detailed instructions that guide staff in fulfilling functional processes that directly impact interests of individual Indian and tribal trust fund account holders.

1.7 Standard Procedures, Requirements, and Structure.

A. Standard Procedures.

- 1) The OST Program Office with primary subject-matter responsibility (the originating office) develops content, maintains, and updates the information in their DOPs. The originating office also prepares the Transmittal Sheet and

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Clearance Record, and notifies the point of contact in the Office of Regulatory Affairs and Collaborative Action (RACA) via email when the review process begins for a DOP. The DOP will be identified in the email according to:

- Title.
- Chapter.
- Section.
- Process.

At the conclusion of the review and approval process for each DOP, the originating OST Program Office submits to RACA copies (scanned) of the Clearance Record and Transmittal Sheet, which were circulated with the DOP and contain all required signatures.

- 2) RACA enters the following information into the OST directives database system for each DOP produced by an OST Program Office:

- Title.
- Chapter.
- Section.
- Process.
- Start Date for Surnaming.
- Issuance Date.
- Publication Date.

RACA maintains an electronic file of the Clearance Record and Directives Transmittal for each DOP produced.

B. Requirements.

- 1) **Records Maintenance.** Each OST Program Office is responsible for maintaining hard and soft copy files of each version of a DOP Process that is produced. Additionally, each OST Program Office is responsible for making DOP documents readily accessible for audit purposes, and for producing copies in response to production requests. OST Program Offices will preserve and manage DOP documents in compliance with the requirements set forth in the Indian Affairs Records Management Manual (IARMM).
- 2) **Publication.** DOPs will be published by the originating office on the OST Enterprise Portal in the OST Document Center within the appropriate DOP folder designated for the respective OST Program Office. The originating office will **send an email to OST Senior Management staff and RACA** with the link to the electronic location of the published document so it can be readily accessed.

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- C. Structure.** OST DOPs are structured into eight distinct subject matter areas and are contained in one volume of information (Volume I)². Each subject matter is published within a specific DOP Chapter. The DOP Chapters are identified by topic and appear under the following titles: (1) Account Maintenance, (2) Receipting, (3) Disbursing, (4) Income Interest Factor, (5) Investing, (6) Reconciling & Reporting, (7) Liabilities, and (8) Batch Documentation Management & Safeguarding. Each chapter is set forth in a Table of Contents.
- 1.8 Format.** The formatting requirements for DOPs will be consistent and mutually agreed to among the OST Program Offices that produce DOPs. A template for DOPs will be published in the OST Document Center on the OST Enterprise Portal.
- 1.9 Signature Authority.** Officials with the authority to provide signature approval for DOPs are Deputy Special Trustee(s) (DSTs).

² Should other OST Program Offices opt to utilize DOPs, additional Volumes (according to program office) would be produced.