

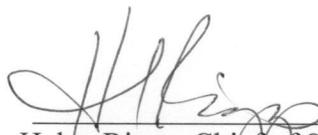
OST DIRECTIVES TRANSMITTAL SHEET

(Modified DI -416)

DOCUMENT IDENTIFICATION NUMBER	SUBJECT	RELEASE NUMBER
010 DS 1-H	Office of the Special Trustee for American Indians (OST) Directives System Handbook	13-02
FOR FURTHER INFORMATION		DATE
Office of the Principal Deputy Special Trustee		NOV 07 2013

EXPLANATION OF MATERIAL TRANSMITTED:

This handbook provides instructions and examples to assist individuals who produce policies and supporting documentation that affect OST programs and activities. This handbook has been developed to provide appropriate guidance in rendering program decisions and facilitating desired results.



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

FILING INSTRUCTIONS:

Remove: None

Insert: 010 DS 1-H

OFFICE OF THE SPECIAL TRUSTEE FOR AMERICAN INDIANS

OST DIRECTIVES SYSTEM HANDBOOK



010 DS 1 – H

Developed by the Office of the Special Trustee for American Indians
In Conjunction with the Office of Regulatory Affairs and Collaborative Action
Located in Reston, Virginia 20191

Office of Regulatory Affairs and Collaborative Action
1001 Indian School Road NW, Suite 312
Albuquerque, New Mexico 87104

This Handbook can be viewed on the OST Intranet website.

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SECTION 1 - POLICY REQUIREMENTS

A directive is a written communication that states policies, and initiates or governs action, conduct, or procedures. Directives instruct an employee (office, agency, organization) to do something, and are most often issued in writing in the form of policies, delegations of authority, or regulations. Policy conveys a deliberate plan of action to guide program decisions and to achieve desired results. Policy is required by law as provided in the Federal Records Act and the Public Information section of the Administrative Procedure Act (APA). The APA mandates that all government agencies provide, **and make available to the public:**

- Proper documentation of their organization and functions.
- Policies and procedures (directives) which ensure consistent and fair application of benefits or services.
- Policies and procedures (directives) necessary to ensure a safe, effective, nondiscriminatory workplace.

The Office of the Special Trustee for American Indians (OST) Directives System (DS) contains policies and procedures that document functions and operations under the authority of the Special Trustee for American Indians. The core goal of OST Directives is the development, implementation, and maintenance of trust operations, which are consistent, efficient, effective, and timely. The OST DS also provides the structure for producing and publishing clear and consistent program and administrative policies.

This handbook has been developed to:

- Ensure OST's compliance with the law.
- Mitigate financial loss.
- Provide appropriate documentation to guide program decisions and facilitate desired results.
- Improve accountability across OST.

This handbook provides instructions and examples to assist those producing policies and supporting documentation that affect OST programs and activities. It includes templates for formatting policy chapters and handbook title pages, Transmittal Sheets and Clearance Records, and instructions for headers and footnotes. These templates are also available on the OST Intranet website.

1.1 Authority

The **American Indian Trust Fund Management Reform Act of 1994** (Trust Reform Act), Pub. L. 103-412, 25 U.S.C. § 4001, et. seq., requires that consistent, written policies and procedures be established for trust fund management and accounting.

The **Federal Records Act (44 U.S.C. 3101)** requires 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 Public Information section of the **Administrative Procedures 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.
- Which procedures must be followed.

Provisions of the **Federal Information Resources Management regulations (41 CFR 201)**, and **Departmental Manual 381 DM 1** require that OST provide proper documentation of its organization, functions, policies, and procedures.

Section 508 of the Rehabilitation Act, 29 U.S.C. § 794d. 1998, requires that Federal agencies ensure that their electronic and information technology will be accessible to people with disabilities, including employees and members of the public.

1.2 Responsibilities

OST Program Offices are responsible for maintaining current policies, revising existing directives, and removing outdated information under the components of the OST DS within their area of authority. Throughout this handbook the following words: (1) originating, (2) initiating, and (3) authoring are used when describing the responsibilities of a program office at various stages of the directives production process.

The initiating OST Program Office is responsible for:

- Developing and updating chapter and handbook content.
- Circulating drafts for internal review and comment.
- Reviewing, and making revisions as appropriate, in response to comments.
- Preparing the Transmittal Sheet and Clearance Record for formal internal review and signature (the surnaming process).
- Facilitating the surnaming process and tracking every phase of a document's development and its location.
- Ensuring notification of publication is appropriately disseminated to program staff.

Before drafting a policy chapter, delegation of authority, desk operating procedure, or handbook, the initiating office will consider carefully who should be included to surname the document.

When another office, program, or bureau (for example: Office of Hearings and Appeals (OHA), Bureau of Indian Affairs (BIA)) is assigned a task or other responsibilities within the document,

the referenced group will be afforded the opportunity to review what is being proposed.

The initiating office¹ is considered the subject matter expert regarding what and how functions are performed within their program; where and how information and decisions are secured; what requirements must be met to provide benefits or services; and/or what procedures must be followed. Therefore, the initiating office is responsible for ensuring that the document content is accurate and current in order to meet the regulatory requirements of the Public Information section of the Administrative Procedure Act (5 U.S.C. 552).

Office of Regulatory Affairs and Collaborative Action (RACA) provides guidance and assistance for implementing the OST DS chapters and handbooks, which confirm OST program policies and procedures. RACA performs the following:

- Provides technical drafting assistance.
- Reviews documents for format and proper delegation of authority.
- Assigns release numbers and document identification numbers.
- Coordinates recommended edits with the initiating office.
- Sends publication notices to OST Senior Management and the Points of Contact (POCs) for OST Directives.

Once the document is final and signed by the appropriate officials, it is returned to RACA to stamp the document with date of issue (date of approving official signature), and enter it into the OST directives database system. The document is then prepared for publication by RACA. Publication occurs on the OST Intranet website as well as the OST public website.

¹ The functional areas of “Ethics” as well as “Policy and Core Plus” may also initiate (originate, author) directives. In doing so, these functional areas assume the same responsibilities for directives as the DSTs and Directors of OAS and OHTA.

SECTION 2 - DIRECTIVES

Directives provide a formal means of communication to support consistent application of policies and procedures. Policy directives satisfy Federal requirements to have accurate and accessible documentation for staff and the public, and provide instructions/guidance to enable employees to perform their duties and responsibilities.

2.1 Producing OST Directives

Directives are intended to convey basic requirements (including enough details to make the government's position clear) and should generally be limited to a few pages as a statement of policy. If a policy directive becomes longer, consideration should be given to reconstructing the material into additional components (for example, into a DS chapter *and* a handbook, or into multiple DS chapters). Handbooks provide a greater level of detail regarding how OST programs and staff carry out their responsibilities.

Directives should be written in plain language² 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 at the policy level.

Directives have standard formats. While formats differ in terms of how materials are organized, policy directives usually contain certain standard components:

- **Purpose** paragraph, explaining why the policy is being issued, and its desired effect.
- **Scope** paragraph, describing who the policy affects and what operations or areas are impacted by the policy. Scope may also expressly exclude certain people or activities from the policy requirements.
- **Policy** statement, indicating the specific “course of action” or requirements being created.
- **Authority** section, indicating the specific regulations/delegations/orders which permit the authoring office to issue the policy.
- **Responsibilities** section, indicating which office is responsible for carrying out particular elements of policy statements.

Not every component listed in a template will apply to every policy directive. Judgment should be used to determine what sections are necessary to best provide proper documentation of the material being conveyed. Some policies may contain additional sections, such as:

- **Background**, indicating reasons and history that led to the creation of the policy.

² June 1, 1998, President Clinton issued an executive memo requiring agencies to write in plain language. In 2004, an interagency task force working on behalf of the Office of Management and Budget (OMB) called for federal information to be written in plain language.

- **Definitions**, providing clear and unambiguous definitions for unique terms and concepts found in the policy document.

Acronyms should be used sparingly and only after the complete words for the acronym has been spelled out the first time it is used in a document.

The guidance in Section 3 for preparing each type of directive facilitates a consistent finished product, a reasonable approval process (with a minimum of delay), and timely publication and implementation.

2.2 Constructing the Surname Package

Directives must be reviewed and cleared (surnamed) by the appropriate offices and authorities prior to issuance. Directives folders are prepared for routing and approval as follows:

- It is the responsibility of the originating (authoring) office to route the directive for review and signature by the appropriate officials.
- The Clearance Record should be attached to the outside cover of the folder.
- On the right side of the folder, the completed Transmittal Sheet should be on top of the final document to be surnamed.
- On the left side of the folder, any supporting documentation, including previous memoranda, printed email discussion, notes, or copies of supporting regulatory citations, and a marked up copy of the previously published document or material, if applicable.

SECTION 3 - COMPONENTS

There are five components of the OST DS:

- **OST (DS) Chapters** are permanent policies which describe (in general) what each program or functional area is responsible for (what they do) and under what authority they do it. The DS is organized into sections called ‘Parts;’ one for each of the major programs and functional areas (Trust Services, Field Operations, Business Management, Program Management, etc.). Each ‘Part’ has a set of documents (Chapters) which specifies what the program does and why. Delegations of Authority (DOAs) are considered policies, and are therefore issued as DS Chapters, and subject to the same requirements of DS Chapters.
- **Handbooks** convey the processes and procedures OST employees use to perform their duties.
- **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.
- **Indian Affairs Records Management Manual**³ establishes recordkeeping requirements for the Indian Affairs Records Management Program from initial creation, or receipt, to final disposition, and establishes adequate internal controls that best ensure protection and the safeguarding of trust and general trust records.
- **OST-Wide Policy Memoranda** are temporary policies which provide interim instructions regarding the official duties and responsibilities of OST employees and contractors.

Note: There are instances when OST and BIA have jointly issued policies. These situations, when they arise, are to be approached on a case-by-case basis, with the production, review, and surname details being agreed upon by the respective OST and BIA points of contact in consultation with the appropriate RACA directives contact. An OST-Wide Policy Memorandum will serve as the format for joint policies issued by OST.

The following sections describe the five categories of directives currently in the system and

³ **The Indian Affairs Records Management Manual (IARMM)** was created by the Office of Trust Records (OTR), Division of Records Management Policies, Procedures and Training, to promote the management of a nationwide records program that conforms to the legal obligations of the trust relationship between the Federal government and American Indians. **OTR is part of the Office of the Special Trustee for American Indians (OST), Office of the Secretary. OTR was established under the authority of the American Indian Trust Fund Management Reform Act of 1994, Pub. L. 103-412, (25 U.S.C. 4001 et. seq.).** The Director of OTR reports to the Deputy Special Trustee - Program Management in OST, and is responsible for managing records programs consistent with requirements set forth in 44 U.S.C. Chapter 31, for Indian Affairs (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; AS-IA; BIA; Office of Natural Resources Revenue (ONRR); Bureau of Land Management (BLM); and the Office of Hearings and Appeals (OHA). OTR coordinates its activities with offices and agencies such as the Office of the Solicitor (SOL), 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).

provide templates and examples of how to produce the policies that affect OST functions and programs. **Not every element of every template will apply to every program.** Templates and examples are also available electronically on the OST Intranet website. POCs for program offices and functional areas can contact RACA if there are any questions, or if additional guidance is needed.

3.1 The OST Directives System (DS) and Index

The OST DS Index contains a comprehensive listing of current written policies of OST. It is organized by sections called Parts, which are the major functions and programs under the authority of the Special Trustee for American Indians. Each Part is further identified by specific chapters. Compliance with the provisions of the DS is mandatory for OST employees and contractors.

To produce a DS chapter:

- **The OST Program Office with primary subject responsibility (the originating⁴ or authoring office) prepares the chapter content**, with the understanding that this office is the subject matter expert regarding what and how functions are performed; where and how information and decisions are secured; and what requirements must be met to provide benefits or services. The originating office's responsibility for content ensures that program attributes are documented accurately, completely, and in compliance with regulatory requirements.
- **The originating office circulates the draft internally for review and comment** (it is not necessary for the Transmittal Sheet or Clearance Record to accompany these versions of the draft). The originating office will send the draft to all offices, programs, and bureaus assigned a task or response in the document.
- **The originating office must be aware that the number of draft versions circulated is dependent upon the number of reviewing offices and the multiple edits and comments offered. This process can take a great deal of time.**
 - The originating office revises the text in response to comments to the first draft and each subsequent version of a draft that is initiated.
 - The originating office continues to circulate each draft version for comments until a final document is produced.
 - The final version is the document that accompanies the Clearance Record and Transmittal Sheet that are sent to RACA.
- **After all comments have been gathered and considered, the originating office prepares the Clearance Record and Transmittal Sheet, and sends the proposed chapter, Transmittal Sheet, and Clearance Record to RACA.**
 - The Clearance Record (modified DI-228) reflects the appropriate routing for signatures necessary to document concurrence by each reviewing office, with the Approving Official being the final signature.
 - The Transmittal Sheet (modified DI-416) contains a summary of the accompanying chapter and also requires the signature of the Approving Official. The Approving Official for a directive depends upon (1) which program office originates the document and (2) the type of document produced. The Approving Official for OST DS Chapters will be one of the following: the OST Chief of Staff (COS), a Deputy Special Trustee(s) (DST), or the Director of the Offices of Appraisal Services (OAS) or the Director of the Historical Trust Accounting (OHTA).
 - RACA confirms the required release number has been entered and confirms the proper

⁴ The functional areas of "Ethics" as well as "Policy and Core Plus" may also initiate (originate, author) directives. In doing so, these functional areas assume the same responsibilities for directives as the DSTs and Directors of OAS and OHTA.

document identification number appears on the final, original document. Section 4 provides templates and examples of Clearance Records and Transmittal Sheets, which are also available electronically on the OST Intranet website.

- **RACA reviews the proposed chapter, Transmittal Sheet, and Clearance Record for format and proper delegation of authority**, and coordinates any recommended changes or corrections with the originating office.
- **The originating office prepares the Directives surname folder and coordinates routing of the final chapter for signatures** (See also: Section 4 - Routing Forms and Surnaming).
- **The original, signed documents are returned to RACA after receiving the signature of the Approving Official**. RACA stamps the document with date of issue (date of Approving Official signature), enters it into the OST directives database system, and publishes the final version of the document to the OST Public Internet website and the OST Intranet website.
- **When the directive is published, RACA sends an email to the Principal Deputy Special Trustee (PDST), the OST COS, the DSTs, the Directors of OAS and OHTA** (as well as the points of contact for directives in the program offices) with the link to the electronic location of the document so it can be accessed and printed.
- **The originating office is responsible for distributing⁵ the directive in electronic or printed format**.
- **RACA will notify OST staff on a quarterly basis of the directives published during the current quarter. The notice will be sent at the end of each quarter.**

Revocation of a DS chapter:

If a program decides that a chapter is no longer valid or necessary, the OST Program Director must send an email to the RACA policy contact, indicating which chapter should be revoked and why. RACA will remove the link in the index to the chapter on the OST public website and note next to the chapter title that it has been revoked, and the date the revocation occurred. RACA will then send an email to the PDST, the OST COS, the DSTs, and the Directors of OAS and OHTA informing them that the chapter has been revoked.

⁵ Distribution by a program office will occur in response to receiving requests from the public and from other program offices and bureaus.

TEMPLATE – OST Directives System Chapter

Office of the Special Trustee for American Indians DIRECTIVES SYSTEM MANUAL

Part ###	[INSERT] Series Topic	
Chapter #	[INSERT] Title of Policy	Page 1

[Text is Times New Roman, 12pt. Number each section with the Chapter number to the left of the decimal point and the sequential number on the right of the decimal point.]

- 1.1 Purpose.** The intent of this chapter, program, policy, etc. is to establish This chapter provides information on the policy, authorities, and responsibilities for [Program Area or Series Topic] within the Office of the Special Trustee for American Indians.
- 1.2 Scope.** This policy applies to [identify who and/or what is covered by this directive].
- 1.3 Policy.** State the policy of OST. Include a short description of the justification or rationale for this policy and its benefit (why is this policy necessary).
- 1.4 Authority.** What authority (statute, regulation, or guidance) is in effect that provides a basis for the policy, or mandates the conduct imposed by the policy's provisions. The author of the policy need only use the sections (A., B., C., or D.) that are applicable.
- A. Statutes.**
- 1) Title XX U.S.C. §§ xxx - xxx, [Popular Name of the Act]
 - 2) Title XX U.S.C. § xx
- B. Regulations.**
- 1) Title XX CFR Subtitle, Part, Chapter or § xxx (Title of the Regulation) Court Rulings (if any).
 - 2) [Plaintiff v. Defendant] Briefly explain the ruling and why it is significant to this policy/directive.
- C. Guidance.**
- 1) OMB Circular X-xxx [Title of Circular]
 - 2) Departmental Manual [Part and Chapter, XXX DM XX]
- D. Handbooks.**
- 1) [Title of Handbook] Provide a brief description of the Handbook, its purpose, and a mailing address from where it can be obtained.

Office of the Special Trustee for American Indians
DIRECTIVES SYSTEM MANUAL

Part ###

[INSERT] Series Topic

Chapter #

[INSERT] Title of Policy

Page 2

1.5 Responsibilities.

- A. **Deputy Special Trustee – Trust Services.** Give meaningful information about what each position is responsible for with regard to the policy/directive (it is not necessary to populate every section).
- B. **Deputy Special Trustee – Field Operations.**
- C. **Deputy Special Trustee – Program Management.**
- D. **Deputy Special Trustee – Business Management.**
- D. **Office Directors.**

[After this chapter section, not every element of the template will be applicable to every chapter. Therefore, determine what sections are needed to best provide proper documentation of the function, procedure, and/or essential transactions being conveyed by this policy document.]

1.6 Definitions. Certain terms may need explaining, particularly if technical descriptions are used.

1.7 Standards, Requirements, and Procedures.

1.8 Reports and Forms.

1.9 *[Add additional sections as needed and title each section accordingly.]*

Footer (Times New Roman, 11 point)

First line: Release #, Issued: (RACA will insert date)

Second line: New *or* Replaces _____ (if Replaces, enter previous release # and/or document identification number and effective date of previous issue)

Release 13-02, Issued: 11/07/2013

New

EXAMPLE – OST DS Chapter

Office of the Special Trustee for American Indians DIRECTIVES SYSTEM MANUAL

Part 760

Information Resources

Chapter 1

Plan of Action and Milestone (POA&M) Responsibility and Authority

Page 1

1.1 Purpose. This chapter establishes responsibility for managing processes specific to Plans of Actions and Milestones (POA&M) for the Office of the Special Trustee for American Indians (OST) Information Resources.

1.2 Scope. This policy is applicable to all work divisions within the OST Office of Information Resources (IR).

1.3 Policy. It is the policy of OST that the OST IR Security Manager is assigned the responsibility for managing POA&M processes for OST. The OST IR Security Manager is granted authority to request and receive participation from all resources necessary to complete POA&M items in a timely manner. Adherence to all proper lines of authority for the Principal Deputy Special Trustee (PDST) and the Deputy Special Trustees (DSTs) and equivalents will be maintained.

1.4 Authority.

A. Statutes.

- (1) Federal Financial Management Improvement Act of 1996 (FFMIA)
- (2) Federal Information Security Management Act of 2002 (FISMA)

B. Guidance.

- (1) Department of the Interior (DOI) Computer Security Handbook, Version 1.0
- (2) Department of the Interior (DOI) Internet Acceptable Use Policy, May 23, 1997
- (3) National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53, Recommended Security Controls for Federal Information Systems
- (4) Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources, Appendix III, Security of Federal Information Resources, November 2000
- (5) OMB Memorandum 04-04, E-Authentication Guidance for Federal Agencies, December 2003

1.5 Definitions. Plans of Actions and Milestones, for purposes of this policy, are processes, defined by DOI and the Office of Management and Budget (OMB) as management tools for tracking the mitigation of cyber security ‘program and system-level’ weaknesses.

[Footer]

Release #NN-NN, Issued: MM/DD/YYYY

New

Release 13-02, Issued: 11/07/2013

New

3.2 Handbooks to the OST DS

Handbooks provide a greater level of detail regarding *how* OST programs and staff carry out their responsibilities. Although they do not have regulatory effect, they are used to convey standard operating procedures and recommended or acceptable practices.

Handbooks are typically companions to DS policy chapters. While a standard template is not required for handbooks, they must be reviewed and approved by the appropriate officials and go through the clearance process prior to issuance. Each Handbook must have a cover/title page which states:

- Title of the Handbook.
- Name of the Program that produced the Handbook.
- Official Name and address of the issuing office.
- Footnoted Release number, date, and related DS chapter (see example).

An example Handbook cover/title page is provided at the end of this section, and is also available electronically on the OST Intranet website.

Handbooks must also be formatted for clarity, including:

- Table of Contents.
- Chapter and page numbers which match the table of contents.
- Correct citations and current authorities (references to Code of Federal Regulations (CFR), United States Code (USC), official governing policies, regulations, or treaties).
- Current and accurate names of OST program offices, Indian Affairs offices, other DOI agency offices, and official titles.
- Illustrations and Appendices must be incorporated into the document in electronic format.

To produce a Handbook companion to a DS chapter:

- **The originating office develops content and circulates the first draft internally for review and comment.** The originating office will send the draft to all offices, programs, and bureaus assigned a task or response in the document.
- **The originating office must be aware that the number of draft versions circulated is dependent upon the number of reviewing offices and the multiple edits and comments offered. This process can take a great deal of time.**
 - The originating office revises the text in response to comments to the first draft and each subsequent version of a draft that is initiated.

- The originating office continues to circulate each draft version for comments until a final document is produced.
 - The final version is the document that accompanies the Clearance Record and Transmittal Sheet that are sent to RACA.
- **Once the text is revised in response to comments, the originating office prepares the Clearance Record and Transmittal Sheet, and sends the proposed Handbook, Transmittal Sheet, and Clearance Record to RACA.**
- The Clearance Record (modified DI-228) reflects the appropriate routing for signatures necessary to document concurrence by each reviewing office, with the Approving Official being the final signature.
 - The Transmittal Sheet (modified DI-416) contains a summary of the accompanying chapter and also requires the signature of the Approving Official. The Approving Official for a directive depends upon (1) which program office originates the document and (2) the type of document produced. The Approving Official for OST Handbooks will be one of the following: the OST COS, a DST, the Director of OAS or the Director of OHTA.
 - RACA confirms the required release number has been entered and confirms the proper document identification number appears on the final, original document. Section 4 provides templates and examples of Clearance Records and Transmittal Sheets, which are also available electronically on the OST Directives Intranet website.
- **RACA reviews the proposed Handbook, Transmittal Sheet, and Clearance Record for format and proper delegation of authority**, and coordinates any recommended changes or corrections with the originating office.
- **The originating office prepares the Directives surname folder and coordinates routing the final Handbook for signatures.**
- **The original, signed documents are returned to RACA after receiving the signature of the Approving Official.** RACA stamps the document with date of issue (date of Approving Official signature), enters it into the OST directives database system, and publishes the final version of the document to the OST Public Internet website and the OST Intranet website.
- **When the Handbook is published, RACA sends an email to the PDST, the OST COS, the DSTs, and the Directors of OAS and OHTA** with the link to the electronic location of the document so it can be accessed and printed.
- **The originating office⁶ is responsible for distributing the handbook in electronic or printed format.**

⁶ The functional areas of “Ethics” as well as “Policy and Core Plus” may also initiate (originate, author) directives. In doing so, these functional areas assume the same responsibilities for directives as the DSTs and Directors of OAS and OHTA.

EXAMPLE - Handbook Cover (title) page

OFFICE OF THE SPECIAL TRUSTEE FOR AMERICAN INDIANS TRUST EXAMINER'S GUIDE



TRUST REVIEW AND AUDIT

DS # - H

Trust Review and Audit
Office of the Special Trustee for American Indians
4400 Masthead Street NE
Albuquerque, New Mexico 87109

[Footer]

Release #, Issued: RACA WILL INSERT DATE

New *or* Replaces _____ (if **Replaces**, enter effective date of previous issue)

Release 13-02, Issued: 11/07/2013

New

3.3 Desk Operating Procedures (DOP)

A DOP is an internal operating manual that is not posted on the public website because the contents reference reporting systems that directly affect individual and tribal account holder interests, and therefore, must remain secure. These documented processes require clearance review by each DST, and final approval by the DST for the authoring program, but **they do not require review and processing by the RACA office**. Program offices⁷ are responsible for maintaining copies of each DOP Process produced and making DOP documents readily accessible for audit purposes, and in response to production requests. A policy governing the development, maintenance, and publication of OST DOPs is issued as 010 OM 6.

3.4 Indian Affairs Records Management Manual (IARMM)

The IARMM contains records management policies and procedures. It is applicable to the programs and employees of the Office of the Special Trustee for American Indians and to Indian Affairs (IA). The format for the IARMM has been established by the Office of Trust Records (OTR).

To produce an IARMM Section:

- **OTR will serve as the originating office and will be responsible for developing content and circulating the first draft internally (to OST Program Offices) and externally (IA⁸) for review and comment.**
- **OTR must be aware that the number of draft versions circulated is dependent upon the number of reviewing offices and the multiple edits and comments offered. This process can take a great deal of time.**
 - OTR revises the text in response to comments to the first draft and each subsequent version of a draft that is initiated.
 - OTR continues to circulate each draft version for comments until a final document is produced.
 - The final version is the document that accompanies the Clearance Record and Transmittal Sheet that are sent to RACA.

⁷ 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 may utilize DOPs to fulfill these purposes. At this point in time only Trust Services and Field Operations produce DOPs.

⁸ Indian Affairs is an umbrella organization, and includes the Office of the Assistant Secretary-Indian Affairs (AS-IA), the Bureau of Indians Affairs (BIA), the Bureau of Indian Education (BIE), and the Office of Justice Services (OJS). The IARMM references these offices and bureaus collectively as Indian Affairs (IA).

- **Once the text is revised in response to comments, OTR prepares a Clearance Record and Transmittal Sheet, and sends the proposed IARMM Section, Transmittal Sheet, and Clearance Record to RACA.**
 - The Clearance Record (modified DI-228) reflects the appropriate routing for signatures necessary to document concurrence by each reviewing office: Director, Trust Records (TR), the DSTs, and the OST COS, as well as appropriate external bureaus and offices, with the Approving Official being the final signature.
 - The Transmittal Sheet (modified DI-416) contains a summary of the accompanying chapter and also requires the signature of the Approving Official, the DST-Program Management.
 - RACA confirms the required release number has been entered and confirms the proper document identification number appears on the final, original document. Section 4 provides templates and examples of Clearance Records and Transmittal Sheets, which are also available electronically on the OST Intranet website.
- **RACA reviews the proposed IARMM Section, Transmittal Sheet, and Clearance Record for format and proper delegation of authority, and coordinates any recommended changes or corrections with OTR.**
- **OTR prepares a separate surname folder (attaching a Clearance Record Only) to document concurrence by the reviewing external bureaus and offices. Routing of the surname folder for external bureaus and offices may begin at the same time the internal surname folder is routed.**
- **All original, signed surname documents are returned to RACA after receiving the signature of the Approving Official.** RACA stamps the document with date of issuance (date of Approving Official signature), enters it into OST directives database system, and publishes the final version of the document to the OST Public Internet website.
- **When the IARMM Section is published, RACA sends an email to OST Senior Management staff with the link to the electronic location of the document so it can be accessed and printed. OTR is responsible for providing notification of publication to all external reviewers.**
- **OTR is responsible for distributing the IARMM in electronic or printed format.**
- **RACA will include IARMM publications in the quarterly notice sent to OST staff concerning directives published during the current quarter.**

3.5 OST-Wide Policy Memoranda (O-WPM)

O-WPM provide interim instructions regarding the official duties and responsibilities of OST employees. They are broad in scope and application, and are valid for one year, after which they are evaluated by the originating office for relevance. O-WPM may then be extended for one year, superseded by updated guidance, or converted to permanent policy (DS chapters).

OST-Wide Policy is established, amended, or ended only in writing and only by the Special

Trustee (ST) for American Indians or the PDST.

To produce an O-WPM:

- **The office with primary subject responsibility (the originating office) prepares the O-WPM content**, with the understanding that this office is the subject matter expert regarding what and how functions are performed; where and how information and decisions are secured; and what requirements must be met to provide benefits or services.
- **The first draft is circulated internally for review and comment** (it is not necessary for the Clearance Record to accompany this draft). The originating office will send the draft to all offices, programs, and bureaus assigned a task or response in the document.
- **The originating office must be aware that the number of draft versions circulated is dependent upon the number of reviewing offices and the multiple edits and comments offered. This process can take a great deal of time.**
 - The originating office revises the text in response to comments to the first draft and each subsequent version of a draft that is initiated.
 - The originating office continues to circulate each draft version for comments until a final document is produced.
 - The final version is the document that accompanies the Clearance Record and Transmittal Sheet that are sent to RACA.
- **Once the text is revised in response to comments, the originating office prepares the Clearance Record and sends the proposed O-WPM and Clearance Record to RACA.**
 - The Clearance Record (modified DI-228) reflects the appropriate routing for signatures necessary to document concurrence by each reviewing office, with the Approving Official being the final signature.
 - **O-WPM does not require a Transmittal Sheet** since the authorizing signature and approval date appear at the close of a memorandum.
 - RACA confirms the required release number has been entered and confirms the proper document identification number appears on the final, original document. Section 4 provides templates and examples of Clearance Records and Transmittal Sheets, which are also available electronically on the OST Directives Intranet website.
- **RACA reviews proposed O-WPM and Clearance Record for format and proper delegation of authority**, and coordinates any recommended changes or corrections with the originating office.
- **The originating office prepares the Directives surname folder and coordinates routing final O-WPM for signatures.**
- **The original, signed documents are returned to RACA after receiving the signature of the Approving Official.** RACA stamps the O-WPM with date of issue (date of Approving Official

signature), enters it into the OST directives database system, and facilitates publication of the final version of the document to the OST Public Internet website and the OST Intranet website.

- **When O-WPM are published, RACA sends an email to the PDST, the OST COS, the DSTs, and the Directors of OAS and OHTA with a link to the electronic location of the document so it can be accessed and printed.**
- **The originating office is responsible for distributing the directive in electronic or printed format.**
- **RACA will notify OST staff on a quarterly basis of the directives published during the current quarter. The notice will be sent at the end of each quarter.**

TEMPLATE – OST-Wide Policy Memorandum

[For Office of the Special Trustee for American Indians Letterhead]

OST-Wide Policy Memorandum (Left justified; Times New Roman, bold, 15 point)

(Centered; Times New Roman, bold, 12 point)

Office of the Special Trustee for American Indians
Name of Division/Program Office

Number: (O-WPM - Issuing Office Letter Code - #)

Effective: (*Dates are stamped to reflect date of approval*)

Expires: (*One year from date of approval*)

Title:

1. Purpose (Subheadings are Times New Roman, Bold, 12 point)

(Text is Times New Roman, 12 point.) Provide the reason for issuing the Memorandum and the general intent of the policy/guidance.

2. Scope

Who and what is covered (or excluded from coverage) by this policy.

3. Policy

Discuss the policy and its applicability. Describe what will be accomplished by issuing the directive, and how to best accomplish policy goals.

4. Roles and Responsibilities

Provide the names and titles of those involved and their respective responsibilities to implement the policy. Describe actions required of officials, Bureau employees, and program staff.

5. Approval

[Insert Name]
Principal Deputy Special Trustee
OR
Special Trustee

Date

Footer (Times New Roman, 11 point)

First line: Release #, Issued: (RACA WILL INSERT DATE)

Second line: New *or* Replaces _____ (*if Replaces, enter previous release # and/or document identification number and effective date of previous issue*)

Release 13-02, Issued: 11/07/2013

New



United States Department of the Interior
Office of the Special Trustee for American Indians
Washington, D.C. 20240

EXAMPLE

OST-Wide Policy Memorandum

**Deputy Special Trustee – Business Management
Servicing Human Resources Office**

Number: O-WPM-HR-#

Effective: *(approval date)*

Expires: *(1 year from the approval date)*

Title: Quality Step Increase as an Award

1. Purpose

To establish . . .

2. Scope

This policy applies to . . .

3. Policy

A quality step increase (QSI) recognizes employees for performance of duty in an exceptional manner. A QSI must be based on the highest quality of performance that a supervisor may certify; in our case an overall summary rating of Exceptional, 5 rating. This level of performance must be expected to continue in the future. Only General Schedule (GS) employees are eligible to receive QSIs. A QSI is a faster than normal step increase, it moves the employee to the higher step ahead of the normal required waiting period. QSIs are given in addition to regular within-grade increases and will not affect the timing of an employee's next regular within-grade increase, unless the QSI places the employee in step 4 or step 7 of their grade. In these cases, waiting periods are extended an additional 52 weeks (waiting periods are 52 weeks for steps 1-3, 104 weeks for steps 4-6, and 156 weeks for steps 7-9). The time an employee has already waited counts towards the next increase, but they must wait the full period that the new step requires.

To be eligible for a QSI, an employee must:

- Be below step 10 of their grade level.
- Achieve an overall summary rating of Exceptional (level 5) on their current Performance Appraisal with reviewing official signature.
- Have demonstrated sustained exceptional performance, and expected to continue.
- Have not received a QSI in the preceding 52 consecutive calendar weeks.

- Have not received another monetary award based in whole or in part on the performance being recommended for recognition.
- Occupy a permanent position.

Within OST, the deadline for processing a QSI is November 30th.

5. Roles and Responsibilities

A. The Deputy Special Trustee – Business Management is responsible for administering this policy.

B. Servicing Human Resources Office is responsible for providing information and guidance to managers, supervisors, and employees. HR is also responsible for assisting managers and supervisors in recognizing and rewarding exceptional employee performance.

C. Supervisors are responsible for recommending QSIs and for providing a specific example of how expectations were exceeded for each element in the justification. In recommending a QSI, the supervisor and HR specialist should review several factors in regard to timing:

- How long will the employee be able to enjoy the benefits of a QSI?
- Will the employee be promoted in the near future?
- Will the QSI make a difference in setting the promotion pay?
- Has the employee received a QSI within the last 52 weeks?
- When is the employee eligible for their next Within-Grade Increase?
- Will the increase take the employee to a new waiting period, i.e., step 4 or step 7?
- Has the resulting impact that a QSI increases an employee's salary costs to the subsequent fiscal years been considered?

6. Approval

[Insert Name]

Date

Principal Deputy Special Trustee

[Footer]

#NN-NN, Issued (*this would be the approval date*)

New

Release 13-02, Issued: 11/07/2013

New

SECTION 4 - ROUTING FORMS and SURNAMING

The surname process is used to coordinate official review and concurrence with the content of a written document. This process is designed to improve internal communication, to ensure that policy is accurate, and to ensure OST provides consistent guidance. In all cases, the originating office is responsible for ensuring necessary surnames have been obtained.

Timely review of documents is extremely important. **Offices and management involved in the surnaming process will strive to review and sign the document within 3-5 business days of its receipt, and then contact the authoring office for pickup.**

Policy documents will be routed through offices/authorities with a direct interest in or responsibility for, the functions or responsibilities that are covered by the policy. Review by the **DOI Solicitor's Office** will occur when there is a significant change or deviation from a past practice of OST, which has not been previously published as OST policy.

The originating office prepares the Transmittal Sheets and Clearance Records to accompany directives in the review process. These documents are completed once the draft directive has been circulated internally for review and comment.

4.1 OST Directives Transmittal Sheet

The Transmittal Sheet provides primary point of contact (the author) information and contains a brief summary of the accompanying documents. In the event the document contains a change to previously established policy, the description on the Transmittal sheet will highlight the major change(s), and include an explanation of the reason for change.

The Transmittal Sheet is published with the final policy, and therefore requires the signature of the Approving Official. The chart below shows the signature authority requirements for each category of directives.

Type	Authority
DS, including DOA	OST COS, DST (s), Director, OAS, Director, OHTA
Handbook	OST COS, DST (s), Director, OAS, Director, OHTA
DOP ⁹	DST - Trust Services, DST – Field Operations
IARMM	DST – Program Management

⁹ See footnote 7, page 18.

TEMPLATE - Transmittal Sheet

OST DIRECTIVES TRANSMITTAL SHEET

(modified DI -416)

DOCUMENT IDENTIFICATION NUMBER (a)	SUBJECT (c)	RELEASE NUMBER (d)
FOR FURTHER INFORMATION (b)		DATE (e)

[The fonts for headings (a) through (e) are in Times New Roman 9pt.. The font for information entered as (a) through (e) is Times New Roman 12pt.]

(f) **EXPLANATION OF MATERIAL TRANSMITTED:** (Bold, Times New Roman, 10 pt.)

Font for body of the Transmittal Sheet is Times New Roman, 12 pt.

Explanation of sections:

- (a) Assigned by RACA to the directive being transmitted
- (b) Office with primary responsibility for the policy, or handbook (include address on Cover Page)
- (c) Title of the accompanying document
- (d) Release number from RACA for records management
- (e) Issue date, to be stamped by Directives Management (RACA) after signature
- (f) Summary of policy/document or reason to change, replace, or rescind existing material
- (g) Signature, printed name, and title of the issuing authority
- (h) Instructions for removing and inserting pages and Title

(h) **FILING INSTRUCTIONS:**

Remove: *Enter None or Replaces*
(if the directive replaces previous policy, enter
previous document identification number and date issue)

Insert: *Enter current document identification number*

Release 13-02, Issued: 11/07/2013
New

EXAMPLE - Transmittal Sheet

OST DIRECTIVES TRANSMITTAL SHEET

(modified DI-416)

DOCUMENT IDENTIFICATION NUMBER 120 DS 1	SUBJECT	RELEASE NUMBER ##-##
FOR FURTHER INFORMATION Office of Appraisal Services	Negotiated Due Dates for Appraisal Requests	DATE

EXPLANATION OF MATERIAL TRANSMITTED:

This chapter provides for the Office of the Special Trustee for American Indians, Office of Appraisal Services to provide timely service by producing appraisal reports on or before the due date negotiated with the client.

(Name)
Director, Office of Appraisal Services

FILING INSTRUCTIONS:

Remove: None

Insert: 120 DS 1

Release 13-02, Issued: 11/07/2013
New

4.2 OST Directives Clearance Record

The Clearance Record (modified DI-228) reflects the appropriate routing for signatures necessary to document concurrence by each reviewing office, with the Approving Official being the final signature. Officials will review each directive to determine if it appropriately documents OST functions, policies, procedures and/or essential transactions. Signing the Clearance Record indicates that the document has been **routed, read, and approved** by the various levels of authority affected by the proposed policy.

Timely processing and review of documents is extremely important. The authoring office is responsible for routing the document and tracking its movement to ensure it continues through the review and signing process without delays, and for making proposed changes to the document.

The chart below shows the different signature authority requirements on the Clearance Record for each category of directives.

Type	Clearance Record Must Be Signed By:
DS	PDST, OST COS, DST (s), and when appropriate, the Director, OAS, and the Director, OHTA
Handbook	Authoring Program Office, OST COS, DSTs, Director, OAS, Director OHTA (or the appropriate functional area)
DOP ¹⁰	DST - Trust Services, DST – Field Operations, DST – Business Management, DST – Program Management
DOA	Authoring Program Office, OST COS, and appropriate Delegating Authority: DST, or Director of OAS, or Director OHTA
IARMM	Director, OTR, OST COS, DSTs, and appropriate external Bureaus and Offices
O-WPM	PDST, OST COS, DSTs, Director, OAS, Director, OHTA

Instructions for Completing the Clearance Record (modified DI-228)

Text for the body of the Clearance record is all Times New Roman, 12pt., and the headings are Times New Roman 8 pt. The office with primary subject responsibility (the originating office) prepares the numbered sections of the Clearance Record with the following:

1. Type of Document. Enter one of the following types of directives:

- | | |
|---------------------------|--|
| Directives System Chapter | Indian Affairs Records Management Manual |
| OST Handbook | OST-Wide Policy Memorandum |
| Desk Operating Procedures | Delegation of Authority |

¹⁰ See Section 3.3 Desk Operating Procedures, page 18.

2. Document Identification Number. The unique document identification number is assigned according to the type of directive being issued. Appendix 2, page 32 contains instructions on formatting the document identification number. Examples are provided for each type of directive.

3. Subject/title. Title of the directive.

4. Summary of Document. Brief summary of the contents.

5. Originating Organization. Office with primary subject responsibility.

Name and Title. Author.

Telephone Number. Author's telephone number.

Date. Date the Clearance Record is prepared.

6. Clearances. Enter Office Letter Codes, office names, titles and names of reviewing officials (those who surname), and the Approving Official.

General routing for DS Chapters¹¹ and O-WPM:

- Originating program office or functional area (includes Ethics, Policy and Core Plus)
- Other OST program offices affected by the directive
- DST/Equivalent (E)
- Approving Official (may be any one of the following depending on the type of document): ST, PDST, OST COS, DSTs/Es
- RACA for final action

General routing for Handbooks and IARMM:

- Originating program office or functional area
- Other OST program offices affected by the directive
- Other external offices/agencies affected by the directive
- DSTs/Es
- Approving Official for program or functional area that originated the directive
- RACA for final action

7. Final Action Office. Directives are returned to RACA (Directives Management) to stamp the

¹¹ Delegations of Authority require [Clearance Record] review by the head of the initiating program office, the OST COS, and the DSTs.

document with date of issue (date of approving official signature), enter it into the OST directives database system, and publish the document (except for DOPs) on the OST Public website and the OST Intranet website.

General routing for DOPs:

- Originating program office (DST or may be an Equivalent)
- Other OST program offices affected by the DOP
- Other external offices/agencies affected by the DOP
- Approving Official for the program office that originated the DOP
- RACA for final action

7. Final Action Office. Program offices that produce DOPs will forward to RACA: (1) notice of the DOP's publication, (2) an electronic copy of the signed Clearance Record, and (3) a copy of the signed Transmittal Sheet for internal and other reference purposes. RACA will enter the title, applicable Chapter, Section, Process number, and the publication date of the DOP into the OST directives database system.

EXAMPLE – Clearance Record

OST DIRECTIVES CLEARANCE RECORD

CLEARANCE RECORD (Modified DI-228)		1. TYPE OF DOCUMENT OST Directives System (DS) Chapter		2. IDENTIFICATION NUMBER 702 DS ##		
3. SUBJECT/TITLE Issuance of the OST Administrative Handbook						
4. SUMMARY OF DOCUMENT CONTENTS This chapter prescribes the administrative operations of the Office of Budget, Finance, and Administration (BF&A) for comprehensive program activities involving financial and management services, and various other support services. Details of program activities are set forth in the OST Administrative Handbook.						
5. ORIGINATOR						
OFFICE/ORGANIZATION Business, Finance & Administration		NAME AND TITLE Lori Curtis, Program Analyst		TELEPHONE NUMBER 505-###-####	DATE MM/DD/YYYY	
6. CLEARANCES						
OFFICE LETTER CODES	TITLE	PRINT NAME	SIGNATURE (DO NOT INITIAL)	DATE	Internal Staff Clearance – Please Sign as Appropriate	
					Surname	Date
BF&A	Director, BF&A	Cynthia Neely				
DST-TS	Deputy Special Trustee – Trust Services	Douglas Lords				
DST-FO	Deputy Special Trustee – Field Operations	Jim James				
DST-PRM	Deputy Special Trustee – Program Management	John White				
OHTA	Director, Office of Historical Trust Accounting	Jason M. Bruno				
OAS	Director, Office of Appraisal Services	Eldred F. Lesensee				
PDST	Chief of Staff	Helen Riggs				
DST-BSM	Deputy Special Trustee – Business Management	Mark H. Davis				
7. FOR USE BY FINAL ACTION OFFICE						
AFTER SIGNATURE, Please Return To: Office of Regulatory Affairs and Collaborative Action (via COS, Masthead)				RELEASE NUMBER (RACA will provide.)		

Appendices

Appendix 1 - Definitions

- A. OST Directives Clearance Record (modified 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). The head of each office signs the Clearance Record upon completing their review of a document or policy.
- B. Directive.** A controlled means of written communication that conveys policy, initiates or governs actions, conduct, or procedures. Directives are often issued as manuals, handbooks, or Desk Operating Procedures and include material issued for insertion in policy or administrative procedures.
- C. Directives Management.** The effective and efficient development of controlled directives and their distribution, use, maintenance, and disposition.
- D. Document Identification Number.** The document identification number is the unique identification number and letter code for the type of directive being issued. Instructions for constructing the document identification number are in Appendix 2. The description “document identification number” appears on the Transmittal Sheet, while on the Clearance Record the reference is made to “identification number (ID).” The ID number is the same on both documents; the shorter reference is used on the internal [routing] Clearance Record to conserve space on the document.
- E. 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 and trust responsibilities.
- F. OST Directives Transmittal Sheet (modified Form DI 416).** The Transmittal Sheet accompanies a document in the review process and contains a brief description (summary) of the material. In the event the document contains a change to previously established policy, the description on the Transmittal Sheet will highlight the major change(s), and include an explanation of the reason for the change.

Appendix 2 - Formatting the Document Identification Number

The Document Identification Number is the unique identification number and letter code for the type of directive being issued.

Permanent Policy

For permanent policy directives (DS Chapters and Handbooks), the document identification number is constructed of: the Part number assigned to the major function or program (from the Index of Parts and Chapters of the DS); the type of directive being produced; and the respective chapter number.

For example, a DS Chapter from Trust Services would have a document identification number beginning with ### (the Part # for Trust Services, then DS (identifying the type of document), followed by the respective chapter number (### DS #).

Handbooks that are companions to DS Chapters are identified by an “H” at the end of the associated DS document identification number (the handbook associated with Trust Services Chapter ### DS # would be ### DS # - H).

Temporary (Interim) Policy

For O-WPM, the document identification number is constructed of: the acronym for the type of directive; the Issuing Office Letter Code; and a consecutive number based on the originating office’s production of directives. For example, an O-WPM from Appraisal Services would begin with O-WPM (acronym for the type of directive) - followed by OAS (the issuing office letter code), and a number (O-WPM-OAS-#).

Citation

Type of Directive

DS

OST DS Chapters

DS ## - H

Handbook to the OST DS Manual

O-WPM- XXX - #

O-WPM

Notes:

DOPs are internal documents ¹²(produced primarily by Trust Services and Field Operations) and follow a unique internal method of numbering based upon chapter and/or section and process numbers.

The IARMM is produced by the Office of Trust Records and governs records management for multiple DOI bureaus. The IARMM follows an established method of numbering based upon chapters and sections.

¹² See footnote 7, page 18.

Identification Key

#	=	Consecutive Chapter numbering
###	=	DS Part numbers
H	=	Handbook of the DS
XXX	=	Issuing Office Letter Code

(XXX) Issuing Office Letter Codes for O-WPM

ADIR	Information Resources
BF&A	Budget Finance & Administration
DST-BSM	Business Management
DST-FO	Field Operations
DST-TS	Trust Services
DST-PRM	Program Management
HR	Human Resources
OAS	Office of Appraisal Services
EA	External Affairs
OHTA	Office of Historical Trust Accounting
PDST	Office of the Principal Deputy Special Trustee
RM	Risk Management
R&R	Reporting & Reconciliation
RTA	Regional Trust Administrators
TBC	Trust Beneficiary Center
TR	Trust Records
TRI	Trust Funds Investment
TRA	Trust Review & Audit
TRNG	Training
TFM	Trust Funds Management

Appendix 3 - Index to the Parts and Chapters of the OST Directives System (DS)

The Index is a work in progress and changes regularly as programs update their policies in conjunction with changing organizational structure and program responsibilities. The most current Index can be found on the OST Public Internet website.

The Parts of the DS Manual are organized in the following groups:

- 010 Directives Management
- 011 Organization
- 012 Delegation of Authority
- 013 Activity Based Costing
- 014 GPRA
- 015 Compliance Standards, Court Orders and Other Mandates
- 016 Emergency Measures
- 017 Administrative Measures
- 018 Committee Activity
- 019 - 099 RESERVED
- 100 Office of Appraisal Services
- 200 Office of the Principal Deputy Special Trustee
- 300 Office of Historical Trust Accounting
- 400 Office of the Deputy Special Trustee – Field Operations
- 500 Office of the Deputy Special Trustee – Trust Services
- 600 Office of the Deputy Special Trustee – Business Management
- 700 Office of the Deputy Special Trustee – Program Management

Index to Parts and Chapters. Chapters without Issue Dates indicate the document is under development with the programs. Following is an example of what the Index looks like:

Parts and Chapters	Series	Issuance/Revision Date
Part 010	Directives Management	
Chapter 1	Development and Management of OST Directives	
Part 011	Organization	
Chapter 1	Structure of the OST Directives System	
Part 012	Delegation of Authority	
Chapter 1	Delegated Authority, Generally	
Part 013	Activity Based Costing	
Chapter 1	Reserved	
Part 014	GPRA	
Chapter 1	Reserved	
Part 015	Compliance Standards	
Chapter 1	Retention of Trust Records in Tribal Litigation	
Part 016	Emergency Measures	
Chapter 1	COOP Plan	

Chapter 2	Dual Control in Emergency Situation	
Part 017	Administrative Measures	
Chapter 1	Faxing Privacy Information	
Part 018	Committee Activity	
Chapter 1	Reserved	
Parts 019 - 099	RESERVED	
Part 100	Office of Appraisal Services	
Part 200	Office of the Principal Deputy Special Trustee	
Part 300	Office of Historical Trust Accounting	
Part 400	Office of the Deputy Special Trustee – Field Operations	
Part 500	Office of the Deputy Special Trustee – Trust Services	
Part 600	Office of the Deputy Special Trustee – Business Management	
Part 700	Office of the Deputy Special Trustee – Program Management	