

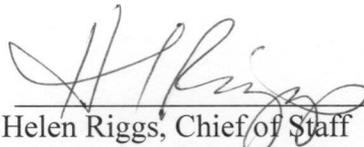
OST DIRECTIVES TRANSMITTAL SHEET

(Modified DI -416)

DOCUMENT IDENTIFICATION NUMBER	SUBJECT	RELEASE NUMBER
010 DS 3	Structure of the Office of the Special Trustee for American Indians (OST)	13-04
FOR FURTHER INFORMATION	Directives System Manual	DATE
Office of the Principal Deputy Special Trustee		NOV 07 2013

EXPLANATION OF MATERIAL TRANSMITTED:

This chapter provides the structure for developing and publishing clear and consistent program policy and other directives.



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

FILING INSTRUCTIONS:

Remove: None

Insert: 010 DS 3

Office of the Special Trustee for American Indians
DIRECTIVES SYSTEM MANUAL

- 1.1 Purpose.** The Office of the Special Trustee for American Indians (OST) Directives System (DS) Manual provides the structure for developing and publishing clear and consistent program policy and other directives.
- 1.2 Scope** The OST DS Manual contains a description of the responsibilities and functions that fall within the authority of the Office of the Special Trustee for American Indians.
- 1.3 Policy.** Directives are required by federal mandate. Directives serve a dual purpose by: (1) ensuring that accurate documentation is made available to the public and (2) providing guidance which enables employees to consistently perform their responsibilities. Commencing in calendar year 2013, and every five years thereafter, OST Program Offices will conduct a complete assessment of all policies and other directives produced under their authority.
- 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) What requirements must be met to obtain services or benefits.
 - 5) Which procedures must be followed.
 - C.** 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.
 - D. Section 508 of the Rehabilitation Act, 29 U.S.C. §794d. 1998,** requires that Federal agencies make electronic and information technology accessible to persons with disabilities, including employees and members of the public.

Office of the Special Trustee for American Indians
DIRECTIVES SYSTEM MANUAL

1.5 Guidance The OST Directives System Handbook (010 DS 1-H) provides instructions and examples to assist those who produce OST-Wide Policy Memoranda (O-WPM) including templates and examples for formatting, producing a Clearance Record and Directives Transmittal, and instructions for footnotes. The OST DS 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 by contacting the Office of Regulatory Affairs and Collaborative Action, 1001 Indian School Road NW, Suite 312, Albuquerque, NM 87104.

1.6 Components.

- A. The Office of the Special Trustee Directives System (DS) Manual** – The DS contains current OST policies and directives. The DS is organized into segments referenced as Parts. Each Part describes a major program and the functions of the program - for example, Trust Funds Management, Trust Beneficiary Center, and Business, Finance, and Administration. Each OST Program Office operates under the delegated authority of the Special Trustee for American Indians. Parts of the DS are subdivided into DS Chapters. It is the purpose of DS Chapters to explain what duties are performed and under what authority the work of the agency is accomplished. Compliance with the provisions of the Office of the Special Trustee DS Manual is mandatory for all OST employees and contractors.
- B. Handbooks** – Handbooks are cross-referenced to specific DS Chapters, and provide detailed information regarding the processes OST employees follow to perform their duties.
- C. Desk Operating Procedures** – Desk Operating Procedures (DOPs) are produced primarily by ¹two OST Offices: the Office of the Deputy Special Trustee – Trust Services and the Office of the Deputy Special Trustee – Field Operations. DOPs contain precise instructions that govern the methods utilized by OST employees and contractors to perform functional processes that directly affect beneficiary interests.

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.

Should other OST program offices see the need to utilize DOPs to fulfill the same purposes they may do so. *At this point in time only Trust Services and Field Operations produce DOPs.*

DIRECTIVES SYSTEM MANUAL

- D. OST-Wide Policy Memoranda** – OST-Wide Policy Memoranda (O-WPM) are temporary policies, which provide interim guidance regarding duties and responsibilities of OST employees. O-WPM are valid for one calendar year. O-WPM may be extended under certain circumstances for one additional year. Thereafter, O-WPM must be incorporated into DS Chapters or be revoked. OST-Wide Policy can only be issued and revoked in writing by the Special Trustee or the Principal Deputy Special Trustee.
- E. Indian Affairs Records Management Manual (IARMM)** – The IARMM 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.

1.7 Responsibilities.

- A. Office of Regulatory Affairs and Collaborative action (RACA)**² provides guidance to program offices in the development of policies and directives. RACA assumes responsibility for: (1) assigning release numbers and document identification numbers (2) reviewing documents for format and proper delegation of authority and (3) coordinating recommended revisions/modifications with the authoring OST Program Office.
- B. Office of the Special Trustee for American Indians' Program Offices** (including the functional areas of “Ethics” and “Policy and Core Plus”) are responsible for authoring and maintaining current policies, revising existing Chapters, and initiating the revocation of outdated information. OST Program Offices are also responsible for developing content, circulating drafts for internal review and comment, preparing the Transmittal Sheet and Clearance Record for a document’s formal review and concurrence, as well as ensuring distribution of the document in electronic and printed format.

1.8 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. Content should be carefully reviewed before a signature indicating approval is placed on the Clearance Record. Instructions and examples for completing the Clearance Record are located in the OST Directives System Handbook.

² The Office of Regulatory Affairs and Collaborative (RACA) on October 1, 2012, began acting as the clearinghouse for all policies and directives produced by the Office of the Special Trustee for American Indians (OST). RACA plays an integral part in the management of OST directives.

Office of the Special Trustee for American Indians
DIRECTIVES SYSTEM MANUAL

Part 010
Chapter 3

Directives Management
Structure of the OST Directives System Manual

Page 4

- B. Directive.** A means of written communication that conveys policy, initiates or governs actions, conduct, or procedures.
- C. Directives Management.** The effective and efficient process of controlled directives and their distribution, use, maintenance, and disposition.
- D. Document Identification Number.** A unique identification number for the type of directive to be issued. Instructions for constructing the document identification number are located in the OST DS Handbook.
- E. Office of the Special Trustee for American Indians (OST).** Includes the offices and functions of the components of OST that are described in 110 DM 26.
- F. Proper Documentation.** Identifying what information needs to be created or received to provide documented evidence of carrying out official responsibilities; managing the organization; and meeting the Department's legal responsibilities.
- G. Transmittal Sheet (Form DI 416).** The Transmittal Sheet accompanies a document in the review and approval process; provides primary point of contact information (usually the author); and contains a brief summary of the material. Instructions for completing Transmittal sheets are located in the OST DS Handbook.