



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

# **FY2014-FY2018 Strategic Plan**



*offering information*

**Welcome Guide:  
New Indian Trust  
Account Holders**  
Office of the Special Trustee  
for American Indians



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*advising account holders*





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

September 30, 2013

Dear Colleagues:

I am very pleased to present to you the Office of the Special Trustee for American Indians FY2014-FY2018 Strategic Plan. The Plan represents the collaborative efforts of OST management and team members from across our organization to chart a path of continuous improvement through effective planning, implementation and follow-through over the next five years. OST's future will be proactively secured through our own best efforts as we work to be the premier public service organization dedicated to the Indian Fiduciary Trust.

One of the key recommendations from the OST Efficiency Study conducted in FY2012 was related to closing gaps identified in OST's strategic planning process. During FY2013, a strategic planning project team led by Chief of Staff Helen Riggs was formed to develop and implement a new process and produce OST's first internally-generated strategic plan. Some of the project's major milestones included updating OST's mission statement, creating a new vision statement, establishing a written set of organizational values and identifying several broad strategic areas of focus. These focus areas serve to align our individual program and office strategic plans and goals with OST's overarching stewardship responsibilities. Our focus areas also serve as direct links to OST's assigned mission area and strategies under the Department's Strategic Plan.

The leadership team and I agreed early in the project upon the need to keep the planning process as transparent as possible and to seek and consider feedback from throughout the organization. To facilitate these goals, a Strategic Planning SharePoint site was created as a focal point accessible to all. To enable direct employee participation, the project team coordinated two OST-wide surveys through the Workplace Improvement Team. These surveys gathered your opinions and suggestions on revising our mission statement, selecting a new vision statement, choosing OST's broad strategic areas of focus and on the draft Strategic Plan. Between the two surveys, more than 140 responses were received from employees participating in this important effort.

The next steps in the Strategic Planning process will be to implement the strategies summarized in the Plan and measure progress toward the stated goals. Many of you will be involved in executing these strategies and your determined efforts will lead to numerous successful outcomes over the next five years. The Plan is meant to be dynamic and will be updated periodically as goals are achieved, new priorities arise and circumstances change.

With the Strategic Plan serving as our roadmap and working together as a team, we will be well prepared to fulfill our mission to honor our trust responsibilities by incorporating a beneficiary focus and participation while providing superior stewardship of trust assets.

Sincerely,

Michele F. Singer  
Principal Deputy Special Trustee

# OF THE SPECIAL TRUSTE

*helping beneficiaries*



## Introduction

The *American Indian Trust Fund Management Reform Act of 1994* (Public Law 103-412) established the Office of the Special Trustee for American Indians (OST) to improve the accountability and management of Indian funds held in trust by the federal government. OST is responsible for fiduciary trust service delivery, oversight and financial management.

OST is committed to fulfilling its trust responsibilities to individual American Indians, Alaska Natives and Indian tribes in an effective and efficient manner. It also is committed to providing excellent service to the beneficiaries of the Indian fiduciary trust. To fulfill its trust responsibilities, OST must have an overall strategic plan to guide the design and implementation of its priorities. The strategic plan defines and describes the vision, mission, values, goals, and strategies of OST.

Achieving the goals that are at the heart of the strategic plan will lead to superior fiduciary trust management; continued advancement of government-to-government relationships with federally recognized Indian tribes; promote self-determination; effective historical accounting and support of dispute resolution; protection and stewardship of trust assets through automation, technology and employee participation; and a highly skilled and engaged workforce. The objectives set forth in the strategic plan will define the methods by which these goals will be achieved. The strategic plan also considers the trends that influence trust management, the role of relevant stakeholders, and the interaction of Interior bureaus/offices.

Strategic plans are dynamic. Thus, OST senior management will regularly evaluate and update this plan to ensure its responsiveness to the ongoing needs of Interior's trust operations and to adapt to changing environments.

## Background

Congress has designated the Secretary of the Interior as the trustee delegate of the Indian fiduciary trust, with responsibility for approximately 55 million surface acres of land and 57 million acres of subsurface mineral interests that are held in trust by the Federal Government on behalf of American Indians, Alaska Natives, and federally recognized Indian Tribes. Interior's responsibilities include the conservation and

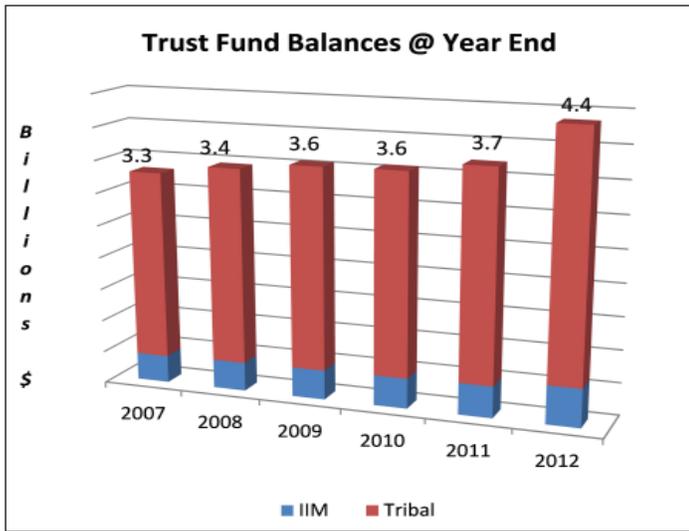
protection of trust land and natural resources; management of Indian trust accounts; fulfillment of treaties and the mandates of Federal law; and improvement of the quality of life for American Indians and Alaska Natives.

The *American Indian Trust Fund Management Reform Act of 1994* (Act) directed Interior to accurately account for Indian trust funds and reform the operation of the Indian fiduciary trust. OST was created by the Act to oversee and coordinate reforms within Interior relating to the management and discharge of such responsibilities.

In 1996, Secretarial Order 3197 significantly expanded OST's role by transferring the Office of Trust Funds Management and other financial trust service functions from the Bureau of Indian Affairs (BIA) to OST. In 2002, responsibility for Indian land appraisals was transferred from BIA to OST and in 2007 the Office of Historical Trust Accounting (OHTA) was aligned to report to the Special Trustee. Today, many of the Trust's complex business and financial processes involve roles performed by multiple bureaus and offices with Indian Trust responsibilities. This joint responsibility creates a level of mutual inter-dependence and the ongoing need for effective communication, cooperation and collaboration to achieve successful outcomes.

OST's trust management role includes preserving, maintaining, accounting, investing, receipting, disbursing, and reporting to individual Indians and federally recognized Tribes and tribal organizations on asset transactions generated from sales, leasing, and other commercial activities on these lands.





OST currently manages nearly \$4.4 billion that is held in Trust by the Federal Government on behalf of American Indians, Alaska Natives, and federally recognized Indian Tribes. For fiscal year 2012, Individual Indian Monies (IIM) income from financial assets, leases, settlements, judgments, use permits, and land sales totaled approximately \$487 million. IIM accounts under management totaled more than 387,000 accounts. Approximately \$1.4 billion was collected during the year for about 3,000 tribal accounts for over 250 tribes.

In fiscal year 2014 and beyond, Interior will maintain its emphasis on providing services to the beneficiaries of the Indian trust. OST will continue its critical role in the oversight and operations of the fiduciary trust in accordance with all applicable Congressional actions and regulatory requirements. With sufficient funding, OST's activities will ensure the proper discharge of Interior's Indian fiduciary trust responsibilities.

### OST's Strategic Planning Process

Strategic planning, as implemented at OST, represents a complex business process requiring senior leadership's direct participation, collaboration across programs and offices, consensus building, and unqualified support for final decisions. Early in the process, senior leaders began by evaluating OST's long-standing mission statement. They next developed alternatives, which were then presented to OST employees to gather their suggestions. After further consideration, the updated mission statement was finalized. A similar effort was undertaken to develop OST's first vision statement. Senior managers then developed several

broad strategic areas of focus to identify OST's overarching stewardship responsibilities and areas that will be emphasized during this five-year plan. These strategic focus areas also align with specific elements of Interior's Strategic Plan. Finally, a set of universal values was developed to set out the standards that each OST team member strives to achieve. Taken together, these elements will serve as a strong foundation for OST's organizational success in the years ahead.

### OST Vision Statement

To be the premier public service organization dedicated to the Indian Fiduciary Trust.

### OST Mission Statement

To honor our trust responsibilities by incorporating a beneficiary focus and participation while providing superior stewardship of trust assets.

### OST Values

To consistently and effectively provide quality service to our beneficiaries while displaying integrity in our actions, excellence in our work, and mutual respect and teamwork in our interactions.

#### Service

OST employees recognize and appreciate that public service is a public trust. We consistently put service above self and honorably administer, and are responsive to, the needs of our beneficiaries — American Indian tribes, individual American Indians, and Alaska Natives.

#### Integrity

OST employees behave ethically and honestly and inspire trust by saying what we mean, aligning our behaviors to our words, and taking responsibility for our actions.

#### Excellence

OST employees see excellence as a process of continuous improvement and learning, never settling for mediocrity. We consistently strive to produce the highest quality work product in all of our assignments and activities, while being committed to innovation and creativity.

#### Respect

OST employees value diversity and unique contributions, foster a trusting, open, and inclusive environment,

and treat stakeholders and each other with kindness, dignity, equality, professionalism, and trust.

### **Emotional Intelligence**

OST employees use, understand, and manage our emotions in a positive, constructive way. We develop and maintain good working relationships, communicate clearly and foster collaboration across the organization, inspire and influence others, work well in a team and manage conflict, all while striking an appropriate work-life balance.

### **OST Broad Strategic Areas of Focus**

- Provide superior fiduciary trust management
- Continued advancement of government-to-government relations with federally recognized Indian tribes
- Effective historical accounting and support of dispute resolution/litigation
- Protection and stewardship of beneficiary trust assets through automation, technology, and employee participation
- Build a 21st century workforce and workplace

### **OST Key Strategic Issues**

OST’s leadership and senior managers were provided with a collective set of key planning assumptions that are expected to exert a significant influence on the operating environment. Some of the key strategic issues that OST faces during the next five years, 2014–2018, include the following:

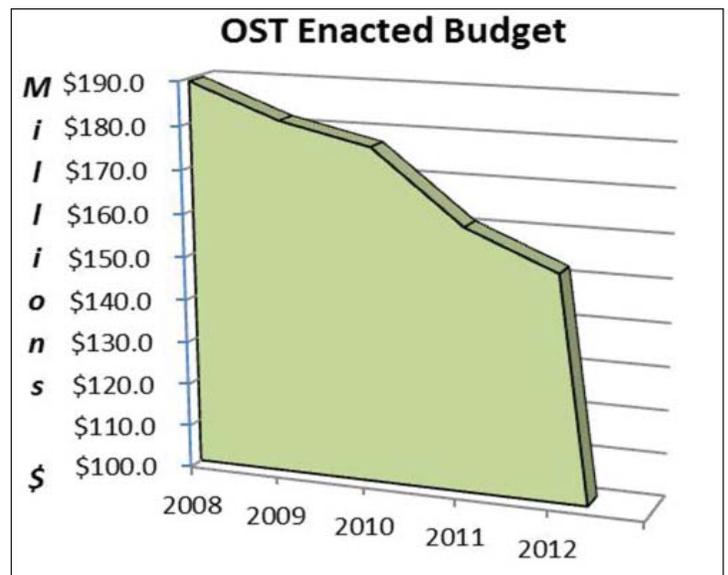
**Budget** – OST’s level of appropriated funding is expected to continue declining as has been the case every year since peaking in FY2008 at \$189.3 million. Significant uncertainties exist both as to timing and future amounts provided to OST through the legislative appropriation process. The recent implementation of sequestration has driven across-the-board budget reductions that further constrain the planning process and force leadership to defer some new opportunities and efficiency improvements that require more than nominal front-end investment.

**Organizational Configuration** – Having implemented a number of organizational changes in FY2013, OST’s

leadership team and senior managers are settling into their new roles and have begun functioning as a cohesive team. Having new leaders in place provides a unique opportunity to take a fresh top-to-bottom look at the organization and its strategic focus and direction. Any identified course changes can be made and new ideas for improving operational efficiency and effectiveness brought forth.

**Political Considerations** – The Secretary’s Commission on Trust Administration and Reform and its contractor are actively gathering data and public comments on how the Department performs its fiduciary trust responsibilities and will be making a set of recommendations to the Secretary on improvements that should be considered for adoption and implementation, to include whether OST should sunset. OST leadership and staff have been cooperatively engaged in supporting the Commission’s work and will continue to do so going forward. When final decisions have been made, revisions to the strategic plan will be incorporated as needed. Since the majority of OST’s activities are now comprised of vital and ongoing fiduciary trust programs, the goals and strategies outlined here will still be relevant and necessary for trust program operations into the foreseeable future.

**Workforce Management** – OST has historically staffed its core mission-critical functions with permanent federal employees, utilized contractor workforces for projects and competitively-sourced other functions such as payroll, contracting and human resources from other Interior components. To date, this strategy has





allowed OST to avoid involuntary workforce reductions. Additional workforce strategies have been developed to mitigate the threats posed by sequestration and sequential declining budgets. These include implementation of a Department-wide hiring freeze and continuing OST's successful array of position management controls and voluntary separation programs. Since a capable and engaged workforce is a critical element in carrying out OST's mission, management will begin implementing the Department's workforce planning model to develop a strategic workforce plan by the end of the second quarter of FY2014. The workforce plan will closely correlate with OST's strategic plan to ensure that the right skill sets are in the right place at the right time.

**New Opportunities** – Several OST programs have already undertaken or are exploring new opportunities by building upon and extending existing strengths or implementing new technology. The challenge here will be to generate new funding sources or cost savings in existing operations sufficient to finance and staff these new initiatives. Some of these include: the Office of Appraisal Services staffing up to support the Land Buy-Back Program and developing new mass-appraisal techniques; Field Operations and the Trust Beneficiary Call Center increasing resources to support upcoming phase two Cobell Settlement payments; Trust Services preparing for another large increase in IIM account maintenance transactions also driven by upcoming phase two Cobell Settlement payments; the Office of Trust Funds Investments exploring the possibility of managing investments of non-trust funds such as for

water settlements; the Office of Trust Records piloting an electronic records and document management system that will lead OST to substantial cost savings over handling and storage of legacy paper records; and the Office of Trust Review and Audit increasing resources to expand performance of Indian Trust Evaluations to other Interior bureaus and offices with trust responsibilities.

Operating in a constrained economic environment requires leadership to make tough choices when prioritizing resources needed to implement strategies developed for OST's mission-critical and administrative programs and most promising new opportunities. With overall declining budgets, not all programs can be funded and staffed for steady-state operations and likewise not all new opportunities can be approved for funding and implementation. An additional consideration is that some of OST's goals and strategies address high priority mandatory requirements that must be allocated resources, leaving fewer resources available for discretionary opportunities.

To address these issues and ensure OST remains on a course of continuous improvement, each program executive and office director conducted a SWOT (strength, weakness, opportunity, threat) analysis of their current operations and developed strategic plans and goals that will be achievable given the anticipated operating environment and that represent their highest priorities to capitalize on inherent strengths, overcome weaknesses, seize opportunities and mitigate threats.

### **OST Strategic Objectives, Strategies, and Goals**

The following summarized listing of strategies and goals was developed from templates completed by OST's leadership team. The Strategic Planning Tactical Team reviewed the strategies and goals submitted and classified each to one of OST's five broad strategic areas of focus. Strategic objectives were developed to facilitate grouping individual program and office strategies and goals into strategic priorities.

With the budget as a key issue, reengineering complex work processes to reduce costs while meeting goals for quantity and quality was the primary objective of more than 28% of strategies developed. The next largest group of strategies, representing 22% of the total, focused on utilizing technology and automation to reduce costs

and improve efficiency. The full array of strategic objectives, goals and strategies is listed below.

## **Strategic Area of Focus 1: Provide superior fiduciary trust management**

### **Strategic Objective 1.1: Optimize outcomes by creating or revising work processes**

Strategy 1.1.1: Develop a methodology to monitor timely completion of work papers and Indian Trust Examination reports by December 2013.

Strategy 1.1.2: Develop a corrective action plan monitoring and follow-up process for Indian Trust Evaluations and Tribal Trust Evaluations by September 2014.

Strategy 1.1.3: Streamline appraisal work process to increase timely completion of work products to 90% by the end of FY2018.

Strategy 1.1.4: Improve appraisal product quality and compliance by filling OAS quality control position in FY2014 and conducting two regional compliance reviews. Build to six annual regional OAS compliance reviews by FY2018.

Strategy 1.1.5: Identify mail processing improvements to reduce postage costs and improve efficiency while maintaining goal of processing mail within 24 hours of document receipt by end of FY2014.

### **Strategic Objective 1.2: Maintain and enhance beneficiary-centric focus**

Strategy 1.2.1: Provide timely, accurate and responsive beneficiary services by exceeding goals of 93% for both front line resolution and responsiveness rates to beneficiary concerns by end of FY2018.

Strategy 1.2.2: Provide targeted outreach to meet stakeholder needs. Maintain documented beneficiary contacts at 130,000 per year.

Strategy 1.2.3: Conduct meetings/consultations with tribal officials to select investment objectives for tribal trust accounts. By FY2018, 90% of tribal accounts will have a current investment letter on file or documentation of attempts to obtain.

Strategy 1.2.4: Develop a written external communications plan to guide OST's participation in recurring events in Indian Country, interactions with the Congress, working with the public news media and implementation of additional channels of communication such as social media by end of FY2014.

Strategy 1.2.5: During FY2014, organize a workgroup to develop and implement a legislative strategy to resolve issues requiring new or revised legislation, regulations and/or consultation actions to accomplish.

Strategy 1.2.6: Produce and distribute two financial empowerment communication products for Native American youths during FY2014.

Strategy 1.2.7: Enrich OST external website by identifying additional information content and training modules for beneficiaries on financial empowerment topics by end of 2Q FY2014.

## **Strategic Area of Focus 2: Continued advancement of government-to-government relations with federally recognized Indian Tribes**

### **Strategic Objective 2.1: Expand outreach efforts to beneficiaries and stakeholders**

Strategy 2.1.1: Expand outreach efforts to tribes about withdrawal of trust funds by developing a new information campaign featuring testimonials, direct mailings, a DVD and brochures to generate three Reform Act trust withdrawal applications by end of FY2017.





Strategy 2.1.2: Encourage tribal utilization of recent innovations such as real-time access to their trust accounts. By end of FY2018, enroll an additional 30 tribes in the StrataWeb product.

### **Strategic Objective 2.2: Promote P.L. 93-638 self-governance opportunities**

Strategy 2.2.1: Examine OST functions to determine what additional functions could be offered and receive Special Trustee approval to do so by mid-year FY2016. Work with affected OST programs and announce to tribes during second half of FY2016.

Strategy 2.2.2: Develop and present P.L. 93-638 educational seminars for OST staff and others by mid-FY2015.

Strategy 2.2.3: Clarify internal roles and responsibilities for P.L. 93-638 oversight and incorporate in updated delegation of authority by end of FY2015.

### **Strategic Objective 2.3: Evaluate P.L. 93-638 tribal program performance**

Strategy 2.3.1: Develop and implement an annual Tribal Trust Evaluation methodology for approximately 100 contracting/compacting tribes. Increase number of evaluations performed each year until reaching 100% by FY2018.

## **Strategic Area of Focus 3: Effective historical accounting and support of dispute resolution/litigation**

### **Strategic Objective 3.1: Support implementation of Cobell settlement**

Strategy 3.1.1: Train managers and staff to support timely distribution of stage one and stage two payments. By end of 1Q FY2014, document the process for responding to Cobell-related inquiries and incoming correspondence. Reduce current process by at least one step and train staff involved in the process.

### **Strategic Objective 3.2: Support settlement of tribal litigation**

Strategy 3.2.1: Increase speed and accuracy of document production by end of 4Q FY2014. Flowchart and analyze current process, review user coding requirements, establish minimum coding necessary and train staff. Realize increase in production capacity of 5%.

Strategy 3.2.2: Develop process to identify tribal-related accounts in the IIM system by end of Q1 FY2015.

Strategy 3.2.3: Develop box indexing process at AIRR to improve access to stored records by end of FY2014. Conduct training and implement during FY2015.

Strategy 3.2.4: Develop and maintain an efficient litigation database to capture and report current and historical litigation information by 1Q FY2014.

Strategy 3.2.5: Develop a communications tree to ensure appropriate staff is notified of Solicitor requests together with proper guidance and instructions to satisfy requirements by 1Q FY2014.

### **Strategic Objective 3.3: Resolve ownership of legacy trust fund balances by optimizing work processes**

Strategy 3.3.1: Streamline work processes for resolving special deposit accounts and distribute \$4 million out of \$10.5 million remaining balance plus interest by end of FY2018.

Strategy 3.3.2: Refine field search processes to distribute Youpee Escheat accounts and resolve \$750,000 out of \$3.8 million remaining balance including interest by end of FY2018.

### **Strategic Objective 3.4: Improve work processes for requesting and tracking Solicitor's reviews/opinions**

Strategy 3.4.1: Develop and maintain automated Solicitor database on SharePoint by 1Q FY2014.

## **Strategic Area of Focus 4: Protection and stewardship of beneficiary trust assets through automation, technology, and employee participation**

### **Strategic Objective 4.1: Improve cycle times and accuracy of complex business processes**

Strategy 4.1.1: Streamline processes to reduce reject rate for manual transactions to less than 5% by end of FY2018.

Strategy 4.1.2: Automate and streamline beneficiary disbursement process to reduce current timeframes by 20% and improve accuracy 10% by end of FY2018.

Strategy 4.1.3: Automate and streamline processes for probate distributions to heirs and payment of estate claims to reduce current timeframes by 25% and improve accuracy to 99.9% by end of FY2018.

Strategy 4.1.4: Automate and streamline process for receipting of funds to reduce current timeframes by 25% and improve accuracy by 10% by end of FY2018.

Strategy 4.1.5: Automate and streamline financial reporting processes to reduce current timeframes by 20% while maintaining no material weaknesses or deficiencies on the audited financial statements by end of FY2018.

Strategy 4.1.6: Automate and streamline routine file maintenance processes to reduce timeframes by 25% and improve accuracy by 10% by end of FY2018.

Strategy 4.1.7: Reduce time required to complete the following tasks in FBMS down to one day by end of FY2016: allocate appropriated funding to OST programs upon receipt of signed allocation forms; approve FBMS purchase requisition documents requiring personal property certification or provide reason for non-approval; process rental payments for leased space and personal property; and certify pending FBMS purchase requisitions requiring funds certification.

Strategy 4.1.8: Achieve 100% accountability for OST personal property by reconciling physical inventory to automated inventory records by end of FY2016.

Strategy 4.1.9: As OST office space leases near expiration, actively seek to reduce amount of square footage under lease at each location and implement space use efficiencies such as telework and shared work stations. Strategic goal is to reduce OST's total leased space by 15% by end of FY2018.

Strategy 4.1.10: Upon favorable background investigation of new employees, issue a federal ID badge within 5 days of first reporting to duty station by end of FY2016.

### **Strategic Objective 4.2: Utilize technology to reduce costs, improve efficiency, and strengthen management controls**

Strategy 4.2.1: Develop project plan to pilot test a prospective OST-wide electronic records and document management system, secure DOI approval and implement project plan by end of FY2018.

Strategy 4.2.2: Implement full utilization of Auto Audit modules on SharePoint for electronic work papers, audit reporting, and tracking corrective action plans by end of FY2014.

Strategy 4.2.3: Provide OST employees with a computing infrastructure that can be securely accessed from anywhere on any device by end of FY2018.

Strategy 4.2.4: Obtain all file, backup, and disaster recovery services from a DOI hosting service provider or a commercial cloud computing provider by end of FY2016.





**HONORING EMPLOYEES OF THE  
OFFICE OF THE SPECIAL TRUSTEE  
FOR AMERICAN INDIANS**

Strategy 4.2.5: Obtain all server computing resources from a DOI hosting service provider or a commercial cloud computing provider by end of FY2018.

Strategy 4.2.6: Provide 60% of mission applications that are mobile (smartphone, tablet) browser friendly by end of FY2018.

Strategy 4.2.7: Reduce the amount of time needed to print IIM statements to 10 business days by end of FY2016.

Strategy 4.2.8: Convert 100% of existing daily, weekly, monthly, quarterly, etc. reports to SQL Server Reporting Services, utilizing the OST Data Warehouse as the main data source by end of FY2018.

Strategy 4.2.9: Establish standards and procedures on internal controls by developing a comprehensive Risk Management Handbook by end of FY2013 and publishing on SharePoint.

Strategy 4.2.10: Develop, pilot test, and deploy a risk management computer-based training course for managers who complete self-assessments in RM Plus by end of Q3 FY2016. Require all other applicable staff to complete training by end of FY2017.

Strategy 4.2.11: Initiate Intra-Bureau/collaborative testing of trust operations Department-wide to facilitate cradle-to-grave testing of trust funds by end of FY2015.

Strategy 4.2.12: Enhance the existing risk management tool (RM-Plus) by adding additional capabilities to facilitate more efficient assessing and reporting by end of FY2016.

Strategy 4.2.13: Proactively engage in continuous process improvement and revisions to the RM-Plus application as OST's risk profile changes over time. Consistently make timely submissions of the Statement of Assurance on Internal Controls over Financial Reporting and the Statement of Assurance on Internal Controls.

**Strategic Objective 4.3: Utilize collaborative problem solving techniques and teamwork to maximize cost reductions and improve end-to-end efficiency of complex business processes involving multiple programs/offices**

Strategy 4.3.1: Establish a pilot project by end of 1Q FY2014 to reengineer the IIM statement process to reduce processing cycle time and costs of labor and postage and establish alternative delivery options.

**Strategic Area of Focus 5: Build a 21st century workforce and workplace**

**Strategic Objective 5.1: Develop and implement workforce planning using DOI model**

Strategy 5.1.1: Utilize DOI desktop workforce planning guide to develop and implement OST's workforce plan to align with and enable this strategic plan by end of 2Q FY2014.

Strategy 5.1.2: In cooperation with DOI-University, establish and deploy a cost-effective, comprehensive employee development and training program by end of FY2014.

**Strategic Objective 5.2: Improve employee engagement and functioning of OST**

Strategy 5.2.1: Utilize the annual Federal Employee Viewpoint Survey (FEVS) and other employee feedback methods to pinpoint specific workplace concerns for improvement; collaborate with the Workplace Improvement Team and other stakeholders to develop and implement timely initiatives, information campaigns, and other actions to address and resolve workplace issues identified.

Strategy 5.2.2: Minimize barriers to encourage employees to come forward with concerns without fear of reprisal. Establish a positive year-over-year trend with a goal of

exceeding the DOI average for this area on the FEVS by the end of FY2018.

Strategy 5.2.3: Provide multiple informal and formal venues to resolve any workplace issue that may arise; coordinate resolution of workplace issues through continuous collaboration between Core Plus, the Servicing Human Resources Office, Deputy Ethics Counselor, Ombudsman, Employee Assistance Program, EEO, OIG, SOL, Union, WIT, Human Capital Specialist, and OST management. As a team, execute employee awareness campaigns; develop and support key trainings and programs to improve the functioning of OST with emphasis on employee/supervisor relationships; support work/life balance programs and initiatives to increase effective communication and employee satisfaction. Measure improvement by establishing a positive trend for these areas on the annual FEVS with a goal of exceeding the applicable DOI average by end of FY2018.

**Strategic Objective 5.3: Improve internal communications vertically between leadership, management, and staff; geographically between headquarters, Albuquerque Regional Office, and field office locations; and horizontally across program and office boundaries**

Strategy 5.3.1: Develop communication tools and innovative methods to improve the communications culture within OST. Develop a written communications plan and roll-out by end of 1Q FY2014.

**Strategic Objective 5.4: Leverage workforce diversity and inclusivity to drive organizational performance and accomplish strategic goals.**

Strategy 5.4.1: Continue supporting DOI workforce diversity goals through focused recruitment efforts, providing equitable access to employee development and leadership programs and proactively soliciting thoughts and opinions from all staff members regardless of individual differences.

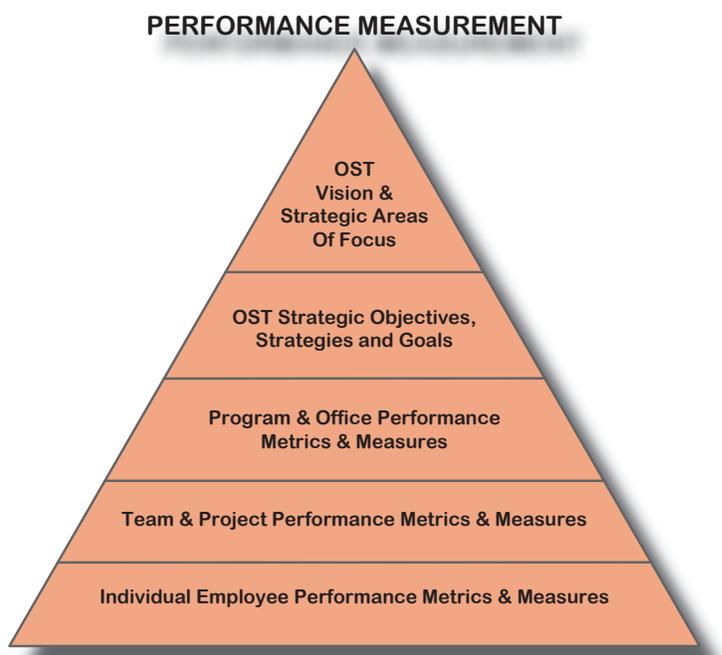
**Performance Measurement**

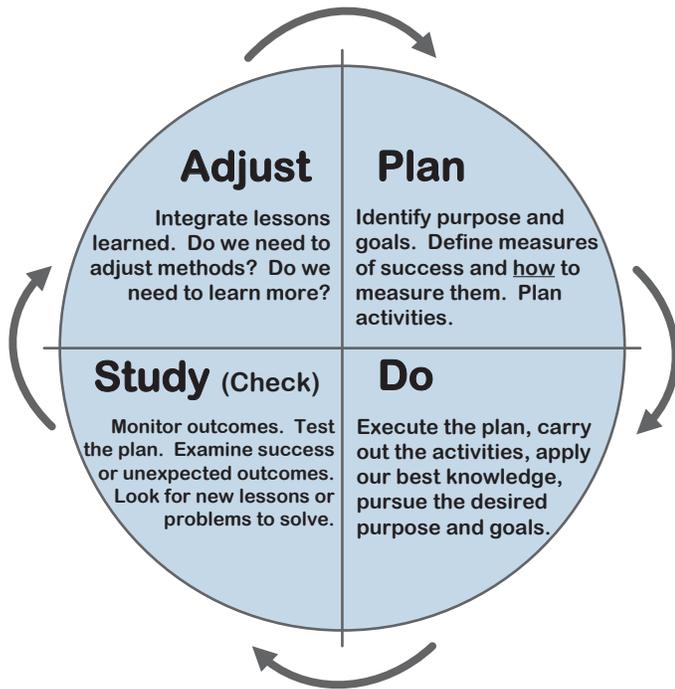
Management visionary Peter Drucker is often credited with the saying “What gets measured gets done.” OST’s long term organizational goals will only be reached if progress toward these goals is properly measured. Successful implementation of this plan will require

OST to deploy a performance measurement system that accurately reflects progress throughout the organization.

A successful performance measurement system incorporates many different tasks. We will need to review our current performance metrics and align them to this plan, create measures where none exist, set relevant benchmarks, monitor performance results, and ultimately achieve our performance targets. We will set relevant performance measures at the organization, program, and cross-functional project team levels. Performance measures will cascade down to incorporate the activities of all OST employees.

In addition to organizational goals, OST’s performance measures must address the five areas of strategic focus. We must also define organizational success from multiple perspectives. These perspectives include a financial perspective (How do we look to our stakeholders?), a customer perspective (How do customers see us?), an internal business perspective (In what area must we excel?), an innovation and learning perspective (Can we continue to improve and create value?), and a workforce perspective (How can we foster an engaged workforce?). Together, these perspectives provide a holistic approach to performance measurement. This combined approach will allow all employees to plan for and monitor improvement. It will also encourage a balanced focus on the issues most important to OST’s success.





Implementation will require us to commit to adopting a process of continuous improvement. The Deming cycle (also known as PDSA or Plan, Do, Study, Adjust) provides an excellent problem solving and improvement template. It entails developing a hypothesis (plan); testing of the hypothesis (do); evaluating results (study); and refining the developed process (adjust). This template can be used throughout the organization to implement strategies and address the implementation issues that will inevitably arise.

Implementation will not be easy. Successful implementation will require us to break down barriers and foster collaboration between organizational units, enhance communication throughout OST, and adapt to changing conditions. It will also require the commitment of all employees to achieving the goals set forth in this plan.

As circumstances and organizational goals change, the performance measures will be modified as well. They will be reviewed periodically by senior management and revised as appropriate. We anticipate that this review will take place at least annually.

This is a living document. As circumstances change, we will need to reevaluate and revise this plan to allow us to thrive under changing conditions. This plan will be reviewed and updated on an annual basis and as circumstances warrant.

## Implementation Plan

Dwight D. Eisenhower once said, “In preparing for battle, I have always found that plans are useless, but planning is indispensable.” A strategic plan is simply one piece of a broader dynamic planning process, and this strategic plan is of little value without robust implementation. This strategic plan sets the direction of OST. Successful execution of the strategic plan will allow us to achieve our long term vision and goals.

The strength of OST lies in the knowledge, skills, dedication, and experience of its employees. Every day, OST staff work hard to serve our beneficiaries and realize the vision, mission, and values of the organization. We are confident in our ability to rise to the challenge of implementing this plan, and together we will strive to achieve our strategic goals over the next five years.

Implementation will entail the development of operational and tactical plans in all functional areas of OST. The leaders of each office will be responsible for communicating their goals, initiating their action plans, monitoring results, adapting tactics as required and meeting performance measures.

Successful implementation will also require successful management of crosscutting projects and other joint efforts between different components of the organization. Each goal and strategy will be quantified, and progress tracked by senior management. Program offices will need to regularly support each other by sharing ideas, reviewing lessons learned, and actively engaging in joint problem solving.

## Definitions of Key Strategic Planning Terms

The strategic planning process involves frequent usage of words and phrases that have a specific meaning when used in that context. Some of the more frequently used terms encountered in OST's strategic plan are defined below to facilitate a common level of understanding among direct participants and our broader group of stakeholders.

### **BUDGET JUSTIFICATIONS**

A narrative explanation of components that comprise the budget justification for an office or bureau's request to Congress. Budget justifications are submitted to Congress annually and each justification includes information about three concurrent fiscal years; the prior year, the current year and the request (upcoming) year. OST's budget justification also includes its annual performance report for the prior year.

### **ORGANIZATIONAL MISSION**

OST's mission statement defines the purpose of the organization and its reason for being.

### **ORGANIZATIONAL VALUES**

Every organization has a set of values, whether or not they are written down. The values guide the perspective of the organization as well as its actions. Writing down a set of commonly-held values can help an organization define its culture and beliefs. When members of the organization subscribe to a common set of values, the organization can be united when it deals with various issues.

### **ORGANIZATIONAL VISION**

An aspirational description of what OST would like to achieve by a defined future point-in-time. It is intended to serve as a clear guide for choosing current and future courses of action.

### **STRATEGIC GOAL**

Strategic goals are defined outcomes that are to be achieved over a specified timeframe. At OST, strategic goals are often written in terms of quantity and quality metrics, such as, "Reduce time required to complete transaction to five days and increase accuracy to 99.9% by the end of FY2015."

### **STRATEGIC MANAGEMENT**

The art and science of planning, formulating, implementing, and evaluating cross-functional decisions that will enable an organization to achieve its objectives. It is the process of specifying the organization's objectives, developing policies and plans to achieve these objectives, and allocating resources to implement the policies and plans to achieve the organization's objectives. Strategic management, therefore, combines the activities of the various functional areas of an organization to achieve its objectives. It is the highest level of managerial activity, usually formulated and performed by the organization's senior leadership.

### **STRATEGIC OBJECTIVE**

A defined outcome that an organization as a whole or one or more of its sub-components must achieve to successfully accomplish its mission. For OST, supporting the *Cobell* Settlement is an example of a strategic objective that is shared by several programs and offices with each making their own specific contribution.

### **STRATEGIC PLANNING**

The formal process for producing plans that document the results identified by our strategic thinking. It is a process by which an organization formulates and implements important decisions across different levels and functions of the organization. Organizations conduct strategic planning to formulate long-range goals and then to select activities to achieve each of those goals, ensuring that the organization is successful. As a strategic process, it provides the necessary organizational linkages to control and support other processes including strategic human capital planning, problem solving, and performance measurement. In the federal government, five year strategic plans are required by the Government Performance and Results Act of 1993. They must also be aligned and integrated with shorter term tactical plans and results of operations as represented by OST's annual Green Book.

### **STRATEGIC THINKING**

The way in which people in an organization think about, assess, view, and create the future for themselves and their associates. It is more than responding to day-

to-day as well as long-term problems, opportunities, and new realities; it is creating tomorrow. It is not reactive, but proactive. Strategic thinking focuses on how to create a better future by being proactive and adding value to society through the accomplishment of high payoff results.

### **STRATEGIES**

The specific methods, processes, or steps used to accomplish goals and objectives. Strategies impact resources in some positive or negative way and they are executed in a tactical manner so as to link goals and objectives to day-to-day operations. They link "upward" to goals and objectives and also link directly to output/efficiency measures but may also be linked to outcomes/effectiveness measures.

### **TACTICAL PLANNING**

Planning at the day-to-day operational level.

Tactical plans range from a day to a year in length, and generally this type of planning should not exceed one year in duration. They may be time constrained by operational factors or by a combined planning-budgetary process that turns from fiscal-to-fiscal year. At OST, developing the Green Book is a good example of tactical planning.

**Images:** Included among the images is one by Anson Baker, OAS Regional Supervisory Appraiser, Northwest (see front cover, bottom image) and one from BIA's historical collection (see front cover, top).





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