

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 1

- 1.1 Purpose.** The Office of the Special Trustee for American Indians (OST) Directives System (DS) Manual provides the structure for developing, identifying, and publishing clear and consistent program policies and other directives.
- 1.2 Scope.** The OST DS Manual contains a description of the responsibilities and functions that fall within the authority of OST.
- 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. In accordance with the Departmental provisions contained in 381 DM 1, 1.8 G., originators are required “to review, biennially, each directive for need and correctness.”
- 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 the 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.

1.5 Components.

- A. The Office of the Special Trustee Directives System (DS) Manual** – The DS Manual contains current OST policies and directives. The DS Manual 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 Call 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 Manual 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 OST 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 (DOPs)** –DOPs contain precise instructions that govern the methods utilized by OST employees and contractors to perform functional processes that directly affect beneficiary interests.
- D. OST-Wide Policy Memorandum** – An OST-Wide Policy Memorandum (OST-WPM) is a temporary policy, which provides interim guidance regarding duties and responsibilities of OST employees. An OST-WPM is valid for one year and can be extended for an additional year, after which a policy published as an OST-WPM must be incorporated into a Chapter of the OST Directives System Manual, superseded, or cancelled. An OST-WPM can only be issued in writing by the Special Trustee or the Principal Deputy Special Trustee.
- E. Policy Statement** – A Policy Statement is another example of an interim policy. This type of directive is initiated and issued only by the Special Trustee. Policy Statements are utilized when time is of the essence; in instances when a directive must be communicated immediately to the entire organization and its employees. Like the OST-WPM, this type of directive is broad in scope and application, often requiring a supplemental set of procedures. Policy statements are valid for six months. Unlike the OST-WPM, a Policy Statement expires six months from the date it is issued. Policy statements are not extended. The contents of the Policy Statement must be re-issued as permanent policy (and procedures, if necessary) by the appropriate program office, before its expiration date.
- F. 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.

1.6 Responsibilities.

- A. **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, submitting all required documents into the OST_Due System, as well as ensuring distribution of the directives developed by their respective program offices.
- B. **Primary Points of Contact (POCs)** serve as the lead liaison between their respective program office staff and Policy and Core Plus (PCP). Primary POCs interface with the Office of the Chief of Staff (COS) to produce directives via the OST_Due System.
- C. **Subject Matter Experts (SMEs)** are identified by Deputy Special Trustees/Equivalents within each program office. SME responsibilities include the development and review of all draft directives within their program office.
- D. **Alternate POCs (APOCs)** lend support to Primary POCs to facilitate the internal review process performed within the immediate program, and perform primarily administrative tasks.

1.7 Definitions.

- A. **Directive.** A means of written communication that conveys policy, initiates or governs actions, conduct, or procedures.
- B. **Directives Management.** The effective and efficient process of controlled directives and their distribution, use, maintenance, and disposition.
- C. **Document Identification Number.** A unique identification number for the type of directive to be issued.
- D. **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.
- 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 responsibilities.

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Page 4

Approval

8/10/2016

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Date