

Office of the Special Trustee for American Indians
DIRECTIVES SYSTEM MANUAL

Part 010
Chapter 6

Directives Management
Desk Operating Procedures

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- 1.1 Purpose.** This Chapter establishes the policy and responsibilities for Desk Operating Procedures (DOPs) within the Office of the Special Trustee for American Indians (OST).
- 1.2 Scope.** The procedures and practices set forth in each DOP are applicable to all OST employees, and employees of commercial firms under contract with OST, whose duties directly impact the maintenance of individual Indian and tribal trust fund accounts. Additionally, each OST program office that produces a DOP is solely responsible for all aspects of its development, maintenance and publication.
- 1.3 Policy.** DOPs provide detailed instructions to OST employees who perform required functions that directly affect individual and tribal account holder interests, and directly impact program processes within OST. Accordingly, DOPs are published only on the OST Intranet website, the OST Enterprise Portal, for use by OST employees. OST Program Offices¹ that produce DOPs are responsible for ensuring that the information in these directives conform to the applicable statutes, regulations, and policies cited in the respective DOP.
- 1.4 Authority.**
- A. Statutes.**
- 1) **The American Indian Trust Fund Management Reform Act (25 U.S.C. 4001, et seq.)**, outlines the trust responsibilities of OST to the account holders, including individual and tribal account holders.
 - 2) **The Federal Records Act (44 U.S.C. 3101)**, requires the head of each Federal agency to make and preserve records containing adequate and proper documentation of the organization, as well as the functions, policies, decisions, procedures, and financial transactions of the agency. The records produced by OST shall be designed to furnish the information necessary to protect the legal and financial rights of the Government and the beneficiaries directly affected by the activities of the agency.
- B. Guidance.**
- 1) **Departmental Manual 381 DM 1** requires that OST provide proper documentation of its organization, functions, policies, and procedures.

¹ The purposes of DOPs are to:

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

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

1.5 Responsibilities.

- A. Deputy Special Trustee – Trust Services.** Each DOP produced by Trust Services' staff will be reviewed and receive final approval by the Deputy Special Trustee – Trust Services (DST-TS).
- B. Deputy Special Trustee – Field Operations.** Each DOP produced by Field Operations staff will be reviewed and receive final approval by the Deputy Special Trustee – Field Operations (DST-FO).

1.6 Definitions: Desk Operating Procedures. For purposes of this Chapter, DOPs are lengthy sets of detailed instructions that guide staff in fulfilling functional processes that directly impact interests of individual Indian and tribal trust fund account holders.

1.7 Standard Procedures, Requirements, and Structure.

A. Standard Procedures.

- 1) The OST Program Office with primary subject-matter responsibility (the originating office) develops content, maintains and updates the information in their DOPs. The originating office² is responsible for circulating DOP drafts for internal review and comment. Additionally, the program office is responsible for issuing the DOP, and for ensuring the DOP is published and appropriately distributed in electronic or printed format.
 - a) Notifies Policy and Core Plus (PCP) via email when the DOP process has been published. The DOP will be identified in the email according to:
 - Title.
 - Chapter.
 - Section.
 - Process.
 - b) PCP enters the following information into the OST directives database system for each DOP produced by an OST Program Office:
 - Title.
 - Chapter.
 - Section.
 - Process.
 - Issuance Date.
 - Publication Date.

B. Requirements.

- 1) **Records Maintenance.** Each OST Program Office is responsible for maintaining

² The functional areas of "Ethics" and "Policy and Core Plus" may also author DS Chapters. In doing so, these functional areas assume the same responsibilities for directives as the DSTs and Directors of OAS and OHTA.

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hard and soft copy files of each version of a DOP Process that is produced. Additionally, each OST Program Office is responsible for making DOP processes readily accessible for audit purposes, and for producing copies in response to production requests. OST Program Offices will preserve and manage DOP documents in compliance with the requirements set forth in the Indian Affairs Records Management Manual (IARMM).

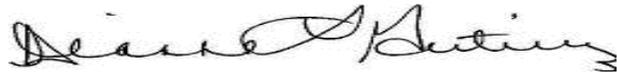
- 2) **Publication.** DOPs will be published by the originating office on the OST Enterprise Portal in the OST Document Center within the appropriate DOP folder designated for the respective OST Program Office. The originating office will **send an email to OST Senior Management staff and PCP** with the link to the electronic location of the published document so it can be readily accessed.

C. Structure. OST DOPs are structured into eight distinct subject matter areas and are contained in one volume of information (Volume I)³. Each subject matter is published within a specific DOP Chapter. The DOP Chapters are identified by topic and appear under the following titles: (1) Account Maintenance, (2) Receipting, (3) Disbursing, (4) Income Interest Factor, (5) Investing, (6) Reconciling & Reporting, (7) Liabilities, and (8) Batch Documentation Management & Safeguarding. Each chapter is set forth in a Table of Contents.

1.8 Format. The formatting requirements for DOPs will be consistent and mutually agreed to among the OST Program Offices that produce DOPs. A template (electronic copy) for DOPs will be published in the OST Document Center on the OST Enterprise Portal. An electronic version is necessary to ensure easy access for users.

Approval

8/10/2016

X 

Travis Trueblood
Chief of Staff

Signed by: DIANNE GUTIERREZ

Travis Trueblood
Chief of Staff

Date

³ Should other OST Program Offices opt to utilize DOPs, additional Volumes (according to program office) would be produced.