

# DIRECTIVES MANAGEMENT

## INDIAN AFFAIRS DIRECTIVES HANDBOOK



1 IAM - H

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Office of Regulatory Affairs and Collaborative Action  
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Reston VA 20191

This Handbook can be viewed on the Indian Affairs intranet site at:

<http://www.indianaffairs.gov/WhatWeDo/Knowledge/Directives/Handbooks/index.htm>.

If you would like additional information, or have comments or suggestions regarding policy/directives or the Directives Handbook, please contact the Office of Regulatory Affairs and Collaborative Action, 12220 Sunrise Valley Drive, #6075, Reston, VA 20191.

Or email to: [IAPolicy\\_and\\_Directives@bia.gov](mailto:IAPolicy_and_Directives@bia.gov).

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# CHAPTER 1 POLICY & DIRECTIVES

## 1.1 Overview

Policy conveys a deliberate plan of action to guide program decisions and to achieve desired results. Directives provide a formal means of communication to support consistent application of policies and procedures. Policy is required by law (the Federal Records Act and the Public Information section of the Administrative Procedure Act), which mandates that all government agencies provide, **and make available to the public:**

- proper documentation of their organization and functions;
- policies and procedures which ensure consistent and fair application of benefits or services; and
- the necessary policies and procedures to ensure a safe, effective, nondiscriminatory work place.

The Indian Affairs (IA) Directives System contains the policies and procedures that document the functions under the authority of the Assistant Secretary of Indian Affairs (AS-IA). The Directives System also provides the structure for producing and publishing clear and consistent IA program and administrative policy to guide program decisions and facilitate desired results; facilitates IA's compliance with the law to have accurate and accessible documentation for staff and the public; provides appropriate controls and documentation of IA program and administrative functions; mitigates financial loss due to litigation; provides instructions/guidance to enable employees to perform their duties and responsibilities; and generally improves accountability across IA.

A *directive* instructs an employee (office, agency, organization) to do something, and can be written (in the form of policy) or verbal. Policies are not created for every contingency; and in the course of daily operations, situations may arise which require specific and timely action by IA employees and managers. A verbal directive may be given in these instances. Or, in some cases, Bureau Directors and leadership (based on authorities delegated by the Secretary of the Interior and the AS-IA) may decide to publish "policy" by personal memorandum. While personal memoranda are not published in the Indian Affairs Manual (IAM), these memoranda are still **directive**, establishing responsibilities for supervisors and employees required for the performance of their duties. However, the challenges presented by "policy-by-memo" include:

- the memorandum is usually sent to a select group of people, and is not available electronically, or is not available in a central location for all IA employees;
- IA may have difficulty or lack the ability to produce these memoranda should we face a related records discovery request; and
- the memorandum is officially binding only while the authorizing official is in their current position.

Due to these challenges, directives should be developed in the appropriate policy template and officially added to the IA Directives System whenever possible, rather than issued by personal memorandum.

This handbook provides instructions, templates, and examples to assist those producing the policies and supporting documentation that affect IA programs and activities. The templates are also available on the [internal] RACA Directives website at: <http://inside.bia.gov/Org/AS-IA/ORM/DirectSys/index.htm>. Throughout the remainder of this handbook, references to “policy” should be interpreted to mean policies and/or directives.

## 1.2 Authority

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 service, and what procedures must be followed.

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

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

## 1.3 Responsibilities

**Indian Affairs Offices** (including offices under the AS-IA, Bureau of Indian Affairs (BIA), Bureau of Indian Education (BIE), Central Office, Regional, and Agency offices) are responsible for maintaining current policies, revising existing directives, and removing outdated information under the components of the Directives system within their area of authority.

The originating or authoring office is responsible for developing or updating chapter, memorandum, or handbook content; circulating drafts for internal review and comment; making revisions in response to comments; coordinating the surnaming and signature routing with RACA (who enters it into the Data Tracking System (DTS) Policy database); working with RACA to address any final edits; and ensuring the material is appropriately distributed after publication.

Before writing a policy chapter, national or regional memorandum, or handbook, the originating

office should consider carefully who should surname the document. If another office, program, directorate, or functional area (i.e., the Solicitor's Office, Office of the Special Trustee (OST), Office of Hearings and Appeals (OHA)) is assigned taskings or responsibilities within the document, the referenced group may need to review what is being proposed.

The originating office 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 get benefits or service; and/or what procedures must be followed. Therefore, the originating 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 developing the IA Manual (IAM) chapters, official memoranda, and handbooks which establish IA program policies and procedures. RACA assigns release numbers and document identification numbers; reviews documents for format and proper delegation of authority; reviews the content for plain language and provides suggestions where needed; and coordinates recommended changes/corrections with the originating office. Once the document is surnamed and signed off by the appropriate officials, it is returned to RACA to stamp the document with date of issue (date of approving official signature), enter it into RACA's records management system, finalize document processing, and publish the policy to the Internet.

## **1.4 Developing Policy**

Policies 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. If a policy becomes longer, consideration should be given to reconstructing the material into additional components (for example, into an IAM chapter *and* a handbook, or into multiple IAM chapters). Handbooks provide a greater level of detail regarding how IA programs and staff carry out their responsibilities.

Policies should be written in plain language\* 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.

Policies also have standard formats that are generally unique to an organization. While formats differ in terms of how materials are organized, policy usually contains certain standard components:

- A **Purpose** section, explaining why the policy is being issued, and its desired effect.
- A **Scope** section, 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.

\* 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.

- A **Policy** statement, indicating the specific course-of-action or requirements being created.
- An **Authority** section, indicating the specific regulations/delegations/orders which permit the authoring office to issue the policy and perform the functions described.
- A **Responsibilities** section, indicating which office is responsible for carrying out the particular elements of policy statements.

After this point, not every element of every template will apply to every policy. 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.
- **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 have been spelled out the first time it is used in a document.

More specific guidance can be found in Chapter 2 for developing each type of policy/directive to facilitate a consistent product, a reasonable approval process (with a minimum of delay), and timely posting and implementation. Additionally, the presentation “How to Develop a Policy or Directive” is located on RACA’s [internal] website here:

<http://iiamabqzucmw01p.ia.doi.net:16200/inside.indianaffairs/Org/AS-IA/ORM/DirectSys/index.htm>

## CHAPTER 2 COMPONENTS

There are six components of the IA Directives System:

- **Indian Affairs Manual (IAM) chapters** are permanent policy which describe (in general) what each program or functional area is responsible for (what they do) and under what authority they do it. The IAM is organized into sections called ‘Parts;’ one for each of the major programs and functional areas (i.e., Budget, Trust, Education, Forestry). As each ‘Part’ is completed, the program then has a set of documents (chapters) which specifies what they do and why they do it.
- **Regional Directives** are companions to IAM chapters, providing additional information and instructions that apply to employees within the jurisdiction of a particular Regional Office.
- **Handbooks** convey the processes and procedures IA employees use to perform their duties.
- **National Policy Memoranda** are temporary policies which provide interim instructions regarding the official duties and responsibilities of IA employees.
- **Regional Policy Memoranda** adapt interim national policy to circumstances unique to particular regions.
- **Assistant Secretary's Orders** are temporary directives by which the Assistant Secretary may issue delegations of authority, special assignment of functions, initial functional statements establishing new organizational units, and emergency directives.

The following sections describe the six categories of directives currently in the system and provide templates and examples of how to develop the policies that affect IA functions and programs. **Not every element of every template will apply to every program.** Templates and examples are also available electronically at: <http://inside.bia.gov/Org/AS-IA/ORM/DirectSys/index.htm>. Programs and functional areas can contact RACA if there are any questions or if additional guidance is needed.

### 2.1 The Indian Affairs Manual (IAM)

The IAM contains the current written policies of IA. It is organized into sections called Parts, which are the major functions and programs (for example: Budget, Trust, Education, Forestry) under the authority of the AS-IA. Each Part is further divided into chapters, which describe (in general) *what each program or functional area does and under what authority they do it*. Compliance with the Manual is mandatory for Indian Affairs employees.

To produce an IAM chapter:

- **The Office with primary subject responsibility (the authoring or originating office) prepares the chapter content.** 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 receive benefits or service. The originating office’s responsibility for content ensures that program attributes are documented accurately and in compliance with

regulatory requirements.

- **The first draft is circulated internally for review and comment** (this should include RACA to assign a release number, and review the document for various required items).
- **Once the text is revised in response to comments, the originating office works with RACA to determine the appropriate routing for surnaming and final signatory authority.** RACA uploads the ‘final’ version of the document into the DTS Policy Database and establishes the routing for surnaming and final signature. Only RACA uploads the document into the DTS Policy Database and establishes the routing. There will be *no hard copy surnaming*; therefore there is no Transmittal or Clearance Record anymore.
- **RACA reviews any comments/edits received throughout the surnaming process in DTS,** and coordinates any recommended changes or corrections with the originating office.
- **The original, signed document(s) is 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 RACA’s records management system, prints the surnaming report from DTS for the hard copy file, and publishes the final version of the document to the IA Internet.
- **When the directive is published, RACA sends an email to AS-IA, Central, and Regional Office Directors and Deputy Directors** with the 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.**

To rescind an IAM chapter:

If a program decides that a chapter is no longer valid or necessary, the program Director should send an email to [IAPolicy and Directives@bia.gov](mailto:IAPolicy_and_Directives@bia.gov) or to their individual RACA policy contact, indicating which chapter should be rescinded and why. RACA will remove the hot link to the chapter on the IA website, and note next to the chapter title that it has been rescinded and the date that occurred. RACA then sends an email to AS-IA, Central, and Regional Office Directors and Deputy Directors informing them that the chapter has been rescinded.

## Template - Indian Affairs Manual Chapter

### INDIAN AFFAIRS MANUAL

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Part XX	Program or Functional Area	
Chapter X	Relevant Chapter Title from Index	Page 1

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- 1.1 Purpose.** [Text is Times New Roman, 12pt.] The intent of this chapter, program, policy, etc. is to establish .... This chapter provides information on the policy, authorities, and responsibilities for [Program Area] within Indian Affairs.
- 1.2 Scope.** This policy applies to [identify who and/or what is covered by this directive].
- 1.3 Policy.** State the policy of Indian Affairs, BIA, or BIE. Include a short description of the justification or discussion of the rationale for this policy and the benefit to the community (why is this policy necessary).
- 1.4 Authority.** In accordance with what statute, regulation, or under what authority do you make policy, or have the ability to enforce it. Author discretion with regard to filling in the format; it is not necessary to populate every section and some sections may be combined as appropriate.
- 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)
  - 2) [Court Rulings (if any)/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]

**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)

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12

## Template - Indian Affairs Manual Chapter (continued)

### INDIAN AFFAIRS MANUAL

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Part XX	Program or Functional Area	
Chapter X	Relevant Chapter Title from Index	Page 2

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#### **D. Handbooks.**

- 1) [Title of Handbook and Issued date]

#### **1.5 Responsibilities.**

- Assistant Secretary - Indian Affairs.** Give meaningful information about what each position is responsible for with regard to the policy/directive (it is not necessary to populate every section).
- Director, Bureau of Indian Affairs.** [For example: Makes recommendations to the Assistant Secretary based upon an evaluation of proposals made by Tribal governments and by Indian Affairs directors and managers under their direct supervision.]
- Office Directors and Deputy Directors.**
- Regional Directors.**

**\* After this point, not every element of every template will apply to every chapter. Use judgment to 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.** The following describes the steps necessary to provide/produce....

#### **1.8 Reports and Forms.**

**1.9 [Add additional sections as needed]**

**Approval (this is required- do not remove signature block from the template)**

---

Signature of Final Approving Authority  
Title

Date

## Example - Indian Affairs Manual Chapter

### INDIAN AFFAIRS MANUAL

Part 59

Environmental and Cultural Resources Management

Chapter 1

Environmental Management

Page 1

- 1.1 Purpose.** This chapter establishes the policy, requirement and responsibility of Indian Affairs (IA) to manage its day-to-day operations in compliance with all applicable environmental regulations, requirements and standards, to improve upon environmental performance and promote sustainable practices to carry out the mission of IA.
- 1.2 Scope.** This policy applies to all IA Central Office, Program, and field staff, and the operations and activities under the authority of the Assistant Secretary - Indian Affairs (As-IA); including programs operated by federally recognized Tribal governments and organizations at IA owned property.
- 1.3 Policy.** It is the policy of IA to:
- A.** Implement and maintain Environmental Management Systems (EMS) as the primary management approach for IA operations and activities;
  - B.** Comply with all applicable Federal, State, local and Tribal environmental laws and regulations;
  - C.** Implement sustainable practices for energy efficiency, greenhouse gas emission reduction, renewable energy, water conservation, pollution and waste minimization, recycling, reduction or elimination of use of toxic or hazardous chemicals, petroleum products—use reduction, and green purchasing among others;
  - D.** Integrate environmental, economic, and social considerations into mission – activities to create sustainable, continuously improving and efficient operations.
- 1.4 Authority.**
- A. Statutes.**
    - (1) Omnibus Appropriations Act, 2009. Title VII General Provisions - Government-Wide Sec. 748. P.L. 111- 8, Mar. 11, 2009.
    - (2) Federal Facilities Compliance Act of 1992, 42 U.S.C. §§6901-6992.
    - (3) Pollution Prevention Act of 1990, 42 U.S.C. 13101 *et seq.*
  - B. Executive Orders**
    - (1) Executive Order 13514, Federal Leadership in Environmental, Energy, and Economic Performance, October 5, 2009.
    - (2) Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management, January 26, 2007.
    - (3) Executive Order 12088, Federal Compliance with Pollution Control Standards, October 13, 1978.

## Example - Indian Affairs Manual Chapter (continued)

### INDIAN AFFAIRS MANUAL

Part 59  
Chapter 1

Environmental and Cultural Resources Management  
Environmental Management

Page 2

#### C. Guidance.

- (1) 515 DM 4, Environmental Management Systems
- (2) Council on Environmental Quality (CEQ) 2007 “Implementing Instructions and Requirements for E.O. 13423”

#### 1.5 Responsibilities.

A. **Assistant Secretary - Indian Affairs** discharges the duties of the Secretary with the authority and direct responsibility to protect and preserve Indian trust assets. Provides program and budget support to carry out environmental management; approves the IA Environmental Policy Statement, IA EMS internal audit and external audit reports. Designates a senior leadership official to be responsible for all matters relating to implementing and maintaining IA EMS and E.O. 13423.

B. **IA Senior EMS Official** responsible for all matters relating to implementing and maintaining IA EMS and E.O. 13423. Represents IA on the DOI Sustainability Council’s Senior Sustainability Advisory Group. Promotes IA environmental compliance, environmental performance improvement, and sustainable practices, initiates the IA annual internal EMS audit, annual conformance reviews, and assures IA representation on the DOI Sustainability Council’s Implementation Committee and Technical Work Groups.

C. **Director, Bureau of Indian Affairs and Director, Bureau of Indian Education** are responsible for ensuring that appropriate organizational arrangements, resources, and personnel are available to implement environmental compliance and implement and maintain EMS. The Directors serve as the Senior Accountable Official for their Bureau EMS. Heads of bureaus have primary responsibility for implementing and executing EMS in accordance with the Department’s policy. Bureau Directors ensure applicable Executive Orders, EMS, and sustainable practices requirements are communicated to all management levels and require environmental accountability of senior managers.

D. **Chief, Division of Environmental and Cultural Resources Management, Office of Facilities, Environmental and Cultural Resources** establishes IA’s environmental management policies, guidance, and standards for complying with environmental statutory and regulatory requirements and environmental Executive Orders. Maintains oversight of EMS throughout IA, provides EMS technical assistance and training to BIA and BIE, and conducts EMS program reviews. Manages IA’s federal and Departmental environmental reporting requirements; manages the IA environmental multi-media audit / assessment program for BIA and BIE, and integrates that program into the IA EMS.

## Example - Indian Affairs Manual Chapter (continued)

### INDIAN AFFAIRS MANUAL

Part 59  
Chapter 1

Environmental and Cultural Resources Management  
Environmental Management

Page 3

**E. BIA Regional Directors** serve as the senior accountable official for EMS in their Region. Designates the Regional Environmental Scientist responsible for the Region's EMS reporting requirements; and requires environmental accountability of senior program and Agency managers. Approve the Regional Environmental Policy Statement and appoint their Region's EMS Cross-Functional Team. Initiate their Region's annual internal EMS audit, and ensure appropriate action to address internal and external audit findings. Formally declare **in writing** conformance with all EMS requirements.

**F. BIE Associate Deputy Directors (ADDs) West, Navajo, and East** are the senior accountable officials for EMS in the Education Line Offices (ELOs) and schools in their jurisdiction. ADDs require environmental accountability of school administration, faculty, and facility managers for maintaining environmental compliance in day-to-day operations and activities, and direct ELOs to initiate annual internal EMS audits, and ensure the Line Office takes appropriate action to address internal and external audit findings.

**G. BIE Education Line Officers** approve the Line Office Environmental Policy Statement, appoint their Line Office's EMS Cross-Functional Team, initiate the Line Office's annual internal EMS audit, and ensure appropriate action to address internal and external audit findings. Formally declare **in writing** conformance with all EMS requirements.

**H. BIE University, School and Dormitory Administrators** manage and maintain their organization's environmental compliance in day-to-day operations and activities with federal, State and Tribal requirements using EMS. Assure their organization identifies its environmental aspects and targets, assures corrective action and identifies opportunities for performance improvement. Coordinate with the DECRM Environmental Staff on environmental management activities.

**I. BIA Agency Superintendents, Irrigation Project Office Managers, Justice Service Officers, and Detention Facility Managers** manage and maintain their organization's environmental compliance in day-to-day operations and activities with federal, State and Tribal requirements using EMS. Assure their organization identifies its environmental aspects and targets, assures corrective action and identifies opportunities for performance improvement. Coordinate with the Regional Environmental Scientist on environmental management activities.

**J. BIA Regional Environmental Scientists** provide technical assistance to the Region's Program Offices, Agencies, and Field Offices on EMS. Coordinate environmental management activities for all IA facilities in the Region.

## Example - Indian Affairs Manual Chapter (continued)

### INDIAN AFFAIRS MANUAL

Part 59

Environmental and Cultural Resources Management

Chapter 1

Environmental Management

Page 4

#### 1.6 Definitions.

**A. Declaration of Conformance** is a written document which ensures that an EMS has been developed and implemented and is fully operational through a conformance review and statement by the senior EMS official.

**B. Environmental Management System (EMS)** is a planning tool that helps an organization achieve its environmental compliance obligations and broaden its environmental performance goals, by properly managing its operations and activities. It is not a stand-alone environmental program or a data management program, but links existing and new organizational responsibilities, programs, and activities. The EMS model "Plan, Do, Check, Act," reflects accepted quality management principles and provides rigor to existing operations and programs to further ensure continual improvement, as found in the ISO 14001:2004(E) standard. An EMS includes formal practices such as operational controls (e.g., Standard Operating Procedures) and designated roles and responsibilities that ensure the proper execution and fulfillment of program operations and activities. An EMS includes procedures to track legal and other requirements, facilitate communications, provide training, prepare for emergencies and evaluate compliance. Activities include planning, training, monitoring and measuring, and reporting. In addition, senior management plays an active role in evaluating status and progress and making decisions toward continual improvement.

**C. EMS Cross-Functional Team** has responsibility for assisting an organization (BIA Region or BIE ELO) maintain its EMS including evaluating the respective Region-wide or ELO-wide aspect significance; developing region-wide or ELO-wide objectives and targets; assuring objectives and targets are consistent with DOI and IA goals; and implementing an internal auditing system. Cross-Functional Team membership should include the BIA Regional Environmental Scientist or BIE ELO, representatives from key program or functional areas (i.e., procurement, facilities, roads, forestry, realty etc.) and BIA Agencies or BIE Schools, with access to their respective program managers to assure that program area and Agency or School identify their environmental aspects and targets.

**D. Environmental Policy Statements** must embody the organization's commitment to: compliance with laws and applicable requirements; prevention of pollution; and continuous improvement. The policy must be endorsed by senior managers and should reflect the nature and scale of the organization's activities. Once the policy statement has been endorsed by senior managers, it needs to be communicated to all staff and made available to the public.

## Example - Indian Affairs Manual Chapter (continued)

### INDIAN AFFAIRS MANUAL

Part 59  
Chapter 1

Environmental and Cultural Resources Management  
Environmental Management

Page 5

**E. Sustainable Practices** are actions contributing to the condition of being "sustainable." Examples of sustainable practices can include but are not limited to measures to ensure full accountability of environmental functions, environmental purchasing, resource conservation, pollution prevention, toxics reduction, practices to reduce or control emissions of greenhouse gases, electronic and other product stewardship, sustainable construction and buildings, water and energy conservation, renewable energy and resources, and recycling.

**1.7 Standards, Requirements, and Procedures.** The Omnibus Appropriations Act, 2009, codifies the requirement to implement E.O. 13423, mandating it shall remain in effect unless otherwise provided by law. Standards for executing an

EMS are based on Departmental policy, CEQ guidance and on standard ISO 14001 management practices. The following describes the steps necessary to fully implement and maintain an EMS.

**A. Standard to Declare a Fully Implemented EMS.** For the purpose of conformance to E.O.13423, the EMS will be considered fully implemented upon completing all of the following steps:

- 1) The EMS has been the subject of a formal audit performed by a qualified independent auditor outside the scope or control of the EMS.
- 2) Each audit finding has been identified and acknowledged along with a corrective action plan for deficiencies (or nonconformance) established by the appropriate managers of the organizational levels and/or facilities responsible for implementation of the EMS.
- 3) The appropriate managers of the organizational level responsible for implementing the EMS has formally declared **in writing** conformance with all EMS requirements.

**B. Requirements to Maintain an EMS.** IA organizations must execute the mandatory requirements for each activity described below.

- 1) **Conformance Reviews.** Each year, conformance declarations will be assessed and confirmed by managers of appropriate organizational levels (i.e. BIA Region Office and BIE ELO) to ensure that the conditions of conformance are continuing to be upheld at the bureau or office. The yearly conformance declaration reviews are meant to ensure that the EMS continues to be formally evaluated, that resulting findings are being addressed appropriately, and that the EMS is being continually improved.

[Footer]

Release #10-23, Issued: 11/17/2011  
New

# 15-04, Updated: 11/ 2014  
Replaces #07-57, Updated: 2/28/12

## 2.2 Regional Directives (RD)

Regional Directives further implement IAM policies at the regional level and pertain to IA employees within the jurisdiction of a particular Regional Office. Although they convey additional instructions that may apply only to one or more specific regions, Regional Directives must not conflict with established IA policies and procedures.

Regional Directives are written in the same style and format as IAM chapters, so a separate template is not provided. Regional Directives are differentiated by adding a third line in the header to identify the originating region and the title of the associated Regional Directive (see the example on page 18). The document identification number for Regional Directives adds a hyphen and the two-letter Regional Office Letter Code to the associated IAM chapter number (for example, 53 IAM 3 - MW). In the organization of the IAM, they are placed following the respective IAM chapter to which the Regional Directive supplements.

To produce a Regional Directive:

- **The Regional Office with primary subject responsibility prepares the directive's content.** Since the Regional Directive tailors IA policies to the unique needs or business processes of individual regions, the regional subject matter experts should be involved in identifying and drafting the information needed to document official responsibilities and management of the organization.
- **The first draft is circulated internally for review and comment** (this should include RACA to assign a release number, and review the document for various required items).
- **Once the text is revised in response to comments, the originating office works with RACA to determine the appropriate routing for surnaming and final signatory authority.** RACA uploads the 'final' version of the document into the DTS Policy Database and establishes the routing for surnaming and final signature. Only RACA uploads the document into the DTS Policy Database and establishes the routing. There will be *no hard copy surnaming*; therefore there is no Transmittal or Clearance Record anymore.
- **RACA reviews any comments/edits received throughout the surnaming process in DTS**, and coordinates any recommended changes or corrections with the originating office.
- **The original, signed document(s) is 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 RACA's records management system, prints the surnaming report from DTS for the hard copy file, and publishes the final version of the document to the IA Internet.
- **When the directive is published, RACA sends an email to AS-IA, Central, and Regional Office Directors and Deputy Directors** with the link to the electronic location of the document so it can be accessed and printed.

- **The originating Regional Office is responsible for distributing the directive in electronic or printed format.**

### **Regional Office Letter Codes**

AK	Alaska	NW	Northwest
EA	Eastern	PA	Pacific
EO	Eastern Oklahoma	RM	Rocky Mountain
GP	Great Plains	SO	Southern Plains
MW	Midwest	SW	Southwest
NA	Navajo	WE	Western

## Example - Regional Directive

### INDIAN AFFAIRS MANUAL

Part 53

Forestry

Chapter 3

Contract Sales of Forest Products

MW Region

Tribal Direct Payments from Purchasers of Forest Products

Page 1

- 1.1 Purpose.** To establish Regional policy for direct collection by Tribes of monies associated with the contract sale and permit sale of forest products.
- 1.2 Scope.** This policy applies to all Tribal Forest Management Programs within the Midwest Region that desire the direct collection of payments from the sale of forest products.
- 1.3 Policy.** Tribes seeking direct payments from purchasers of forest products must submit their request in writing to the responsible line officer. The request shall contain a resolution approved by the Tribe requesting direct payment authority, and a statement indicating that the Tribe agrees with the procedures for Direct Payment/Collection (Section 1.7). The Tribe may request direct payments for Tribal forest products sales or for both Tribal and Allotment forest product sales.\*

Once the request is approved, all new timber-sale contract funds will be collected directly by the Tribe. Existing timber sale contracts which have accounts within the Trust Fund Accounting System (TFAS) will continue to be maintained until satisfactory completion of the contract.

**1.4 Authority.**

- A.** In accordance with 25 USC §3107, 25 CFR Part 163 and memorandum dated February 24, 2003, from the acting Deputy Commissioner regarding Forest Management Deductions – Direct Collection by Tribes.
- B.** American Indian Probate Reform Act of 2004 (PL 108-374§2212); 53 IAM 1; and the Forestry Handbook, Contract Sales of Forest Products (53 IAM 3-H).

- 1.5 Responsibilities.** This policy will be followed by all line officers within the Midwest Region delegated forest management responsibilities. It is the responsibility of the line officer to ensure that all collections for the contract and permit sale of forest products are either collected directly by the Bureau, or to approve requests from Tribes under their jurisdiction (25 CFR 163.22(b)) that agree to adhere to this policy.

\*Note: The American Indian Probate Reform Act of 2004 (§2212) requires that all income from allotment tracts which have Land Consolidation Program Liens must be paid to the Secretary.

[Footer]

Release #10-21, Issued: August 12, 2010

Replaces #8-15, 53 IAM 3 – MW (03/25/08)

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12

## Example - Regional Directive (continued)

### INDIAN AFFAIRS MANUAL

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Part 53

Forestry

Chapter 3

Contract Sales of Forest Products

MW Region

Tribal Direct Payments from Purchasers of Forest Products

Page 2

#### 1.6 Procedure for Direct Payment/Collection

This procedure covers direct payment/collection of Bid Deposits, Performance Bonds, Advance Deposits, Advance Payments, and Installment Payments.

(1) All Timber Sale contracts will have a special provision stating that payments and deposits shall be drawn payable to the “requesting Indian Tribe” (modifies Part B4.1 of the standard provisions).

(2) The Tribe retains the Timber Sale Bid Deposit of the apparent high bidder, and of all others who submit a written request to have their bids retained until the contract is awarded and approved (up to 30 days). All other Bid Deposits will be immediately returned by Certified mail, Return-Receipt.

(a) Retained Deposits-with-Bid will be placed in a tribally controlled account in the name of the bidder(s) within 24 hours.

(b) Upon award and approval of the contract, any Bid Deposits still retained will be returned immediately by Certified Return-Receipt postage to unsuccessful bidders. If the unsuccessful bidders (who submitted written requests to have their bids retained until contract award) are present for the bid opening, they may recover their deposits-with-bid immediately by signing the back of the bid proposal form.

(3) Performance Bonds will be required in connection with all sales of forest products (25 CFR 163.21). The Tribe will collect all or part of the bond according to the terms of the timber sale document. The preferred form of performance bond is cash, or irrevocable letter of credit (LOC).

(a) Deposit of Cash – The deposit will be placed in a tribally controlled escrow account designated by a contractor identifier. Cash deposited as a performance bond should be supported by an “Agreement and Power of Attorney” naming the Tribe as the attorney-in-fact. At the completion of the contract, the Bond will be returned to the contractor minus any funds retained to remedy contract deficiencies.

(b) Irrevocable Letter of Credit (LOC) – If an irrevocable LOC is used to secure performance bonds, the Tribe will be designated as the Beneficiary. The LOC should be secured in a fireproof safe at the office of jurisdiction, and a copy must be in the contract file. The expiration date of the LOC must exceed the timber contract expiration date by a minimum of 180 days. At the completion of the contract, if there are no drafts against the LOC, it will be returned directly to the issuing bank. If a draft has been drawn, the LOC will be retained.

## 2.3 Handbooks (H)

Handbooks provide a greater level of detail regarding *how* IA programs and staff carry out their responsibilities by conveying standard operating procedures and recommended or acceptable practices.

Handbooks are typically companions to IAM policy chapters, though this is not always the case. While a standard template is not required for handbooks, they must be reviewed and approved by the appropriate officials and go through the same clearance process as policy prior to issue. Each handbook must have a cover/title page which states:

- Title of the Handbook
- Program the handbook is affiliated with
- Official Name and address of the issuing office
- Footnoted Release number, date, and related IAM chapter (if applicable)

An example Handbook cover/title page is provided at the end of this section, and is also available electronically at <http://inside.bia.gov/Org/AS-IA/ORM/DirectSys/index.htm>.

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 (i.e., references to C.F.R., U.S.C., official governing policies, regulations, or treaties) where applicable
- Current and accurate names of IA offices and official titles
- Illustrations and Appendices in electronic form (or links to websites where these resources/this information can be located)

To produce a Handbook companion to an IAM chapter:

- **The originating office develops content and circulates the first draft internally for review and comment** (this should include RACA to assign a release number, and review the document for various required items).
- **Once the text is revised in response to comments, the originating office works with RACA to determine the appropriate routing for surnaming and final signatory authority.** RACA uploads the 'final' version of the document into the DTS Policy Database and establishes the routing for surnaming and final signature. Only RACA uploads the document into the DTS Policy Database and establishes the routing. There will be *no hard copy surnaming*; therefore there is no Transmittal or Clearance Record anymore.
- **RACA reviews any comments/edits received throughout the surnaming process in DTS, and coordinates any recommended changes or corrections with the originating office.**
- **The original, signed document(s) is 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 RACA's records management system, prints the surnaming report from DTS for the hard copy file, and publishes the final version of the document to the IA Internet.

- **When the directive is published, RACA sends an email to AS-IA, Central, and Regional Office Directors and Deputy Directors** with the link to the electronic location of the document so it can be accessed and printed.
- **The originating office is responsible for distributing the handbook in electronic or printed format.**

Handbooks are made available on the public website. In some cases, a program office may need an internal operating handbook that should not be publicly available (e.g., a Justice Services handbook on operating security for detention centers).

To produce an internal-only Handbook companion to an IAM chapter:

- **The originating office develops content and circulates the first draft internally for program management review and comment** (this does not need to go to RACA, although RACA Policy and Directives Staff are available to assist if requested).
- **Once the text is revised in response to comments, the originating office** obtains program management and Bureau management approval.
- **The originating office reviews any comments/edits received throughout the surnaming process,** and makes any necessary changes or corrections.
- **The originating office maintains the original, signed document(s) and is responsible for distributing the directive to appropriate persons in electronic or printed format.**
- If the originating office and/or management determine that it is appropriate, the originating office will provide a copy of the signed document to RACA to **make available on an 'internal-only' (intranet) webpage.** This webpage was created to facilitate employee access to the information without making it publicly available through the IA Policy and Directives BIA.gov website.
- **The originating office sends the RACA Policy and Directives office a copy of the final product, whether it is posted on the 'internal-only' website or not.** RACA keeps copies of all Handbooks for records management and other reference purposes.

Example - Handbook Cover (title) page

# STANDARDS FOR INDIAN TRUST LANDS BOUNDARY EVIDENCE HANDBOOK



## OFFICE OF TRUST SERVICES

In collaboration with the Bureau of Land Management and  
the Office of the Special Trustee for American Indians

52 IAM 2 - H

Division of Real Estate Services  
MS-4644 MIB  
Bureau of Indian Affairs  
1849 C Street, NW  
Washington, D.C. 20240

[Footer]

Release #, Issued: RACA WILL INSERT DATE

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

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12

## 2.4 National Policy Memoranda (NPM)

National Policy Memoranda provide interim instructions regarding the official duties and responsibilities of IA employees. They are broad in scope and application, and are valid for one year, after which they are evaluated for relevance. NPMs can then be extended for one year, superseded by updated guidance, or converted to permanent policy (IAM chapters).

A NPM is established, amended, or rescinded only in writing and only by the Assistant Secretary, the Principal Deputy Assistant Secretary, a Deputy Assistant Secretary, the Director, BIA, or the Director, BIE.

To produce a NPM:

- **The office with primary subject responsibility (the originating office) prepares the NPM 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 receive benefits or service.
- **The originating office circulates the first draft internally for review and comment** (this should include RACA to assign a release number, and review the document for various required items).
- **Once the text is revised in response to comments, the originating office works with RACA to determine the appropriate routing for surnaming and final signatory authority.** RACA uploads the ‘final’ version of the document into the DTS Policy Database and establishes the routing for surnaming and final signature. Only RACA uploads the document into the DTS Policy Database and establishes the routing. There will be *no hard copy surnaming*; therefore there is no Transmittal or Clearance Record anymore.
- **RACA reviews any comments/edits received throughout the surnaming process in DTS,** and coordinates any recommended changes or corrections with the originating office.
- **The original, signed document(s) is 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 RACA’s records management system, prints the surnaming report from DTS for the hard copy file, and publishes the final version of the document to the IA Internet.
- **When the directive is published, RACA sends an email to AS-IA, Central, and Regional Office Directors and Deputy Directors** with the 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.**

**Template - National Policy Memorandum**

[For Office of the Secretary letterhead or BIA/BIE Director letterhead]

**National Policy Memorandum** (Left justified; Times New Roman, bold, 15 point)

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

**Office of (Fill in Organization) - Indian Affairs**  
**Name of Division/Program Office**

**Number:** (NPM - Issuing Office Letter Code - #)

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

**Expires:** *approval and 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**

---

Name  
Title

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)*

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12



# United States Department of the Interior

OFFICE OF THE SECRETARY  
Washington, D.C. 20240

## EXAMPLE NPM

### National Policy Memorandum

Assistant Secretary - Indian Affairs  
Deputy Assistant Secretary – Management  
Office of Human Capital Management

Number: NPM-HR- 12

Effective: *(approval date)*

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

Title: Quality Step Increases

#### 1. Purpose

To establish the parameters and processing deadlines for Quality Step Increases (QSI).

#### 2. Scope

This policy applies to the Office of the Assistant Secretary – Indian Affairs, the Bureau of Indian Affairs, and the Bureau of Indian Education.

#### 3. Policy

A Quality Step Increase (QSI) is a *faster than normal* within-grade increase used to reward employees at all General Schedule grade levels who display exceptional performance. The employee's current rating of record is the basis for the QSI. 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 Quality Step Increase 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 Quality Step Increase, an employee must:

- be below step 10 of their grade level;
- achieve an overall rating of Exceptional (level 5) on their current Performance Appraisal;
- have demonstrated sustained exceptional performance; and
- have not received a Quality Step Increase in the preceding year.

Within Indian Affairs, the deadline for processing QSIs is:

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12

- BIA - 12/31/07
- BIE - 09/30/07

#### 4. Roles and Responsibilities

**A. The Deputy Assistant Secretary – Management** is responsible for administering this policy.

**B. The Office of Human Capital Management** is responsible for providing information and guidance to managers, supervisors, and employees.

**C. Servicing Human Resources Offices** are responsible for assisting managers and supervisors in recognizing and rewarding exceptional employee performance.

**D. Supervisors** are responsible for recommending QSIs and for providing a brief specific example of how expectations were exceeded for each element in the justification. In recommending a Quality Step Increase, 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 Quality Step Increase?
- Will the employee be promoted in the near future?
- Will the Quality Step Increase make a difference in setting the promotion pay?
- Has the employee received a Quality Step Increase 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?

#### 5. Approval

---

(Name)

Date

Deputy Assistant Secretary – Indian Affairs (Management)

[Footer]

#07-35, Issued (*this would be the approval date*)

New

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12

## 2.5 Regional Policy Memoranda (RPM)

Regional Policy Memoranda adapt interim policy to circumstances unique to particular regions. RPMs convey instructions regarding compliance, and establish roles and responsibilities for IA employees within the jurisdiction of a Regional Office. Regional policy cannot conflict with or supersede national policy (i.e., IAMs and/or NPMs). RPMs are effective for one year (and can be extended for one year), after which the information published in RPMs should be incorporated into an IAM chapter, or superseded by updated guidance. The same Regional Office codes apply as those located on page 17.

To produce a RPM:

- **The Regional Office with primary subject responsibility prepares the RPM content.** Since Regional Directives tailor IAMs to the unique needs or business processes of a region, the regional subject matter experts should be involved in identifying and drafting the information needed to document official responsibilities and management of the organization.
- **The originating office circulates the first draft internally for review and comment** (this should include RACA to assign a release number, and review the document for various required items).
- **Once the text is revised in response to comments, the originating office works with RACA to determine the appropriate routing for surnaming and final signatory authority.** RACA uploads the ‘final’ version of the document into the DTS Policy Database\*\* and establishes the routing for surnaming and final signature. Only RACA uploads the document into the DTS Policy Database and establishes the routing. There will be *no hard copy surnaming*; therefore there is no Transmittal or Clearance Record anymore.
- **RACA reviews any comments/edits received throughout the surnaming process in DTS,** and coordinates any recommended changes or corrections with the originating office.
- **The original, signed document(s) is 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 RACA’s records management system, prints the surnaming report from DTS for the hard copy file, and publishes the final version of the document to the IA Internet.
- **When the directive is published, RACA sends an email to AS-IA, Central, and Regional Office Directors and Deputy Directors** with the link to the electronic location of the document so it can be accessed and printed.
- **The authoring Regional Office is responsible for distributing the directive in electronic or printed format.**

\*\*Until Regions are given access to the DTS, RACA will work with the DTS Administrator to load individual names into the system for documenting surnaming and/or other work-arounds. The final signatory authority will always be the BIA Director, who does have access to the DTS.

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12

# Template - Regional Policy Memorandum

[For BIA letterhead]

## Regional Policy Memorandum (Left justified; Times New Roman, bold, 15 point)

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

**Bureau of Indian Affairs**  
**Region**  
**Name of Division/Program Office**

**Number:** (RPM - Issuing Office Letter Code - #)

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

**Expires:** *approval and 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 by this policy (and what/who is excluded from coverage).

**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. Approvals**

---

Name

Date

Director, Bureau of Indian Affairs

**Footer** (Times New Roman, 11 point)

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

Second line: New *or* Replaces \_\_\_\_\_ (*if Replaces, enter effective date of previous issue*)

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12



## 2.6 Assistant Secretary's Order (ASO)

Assistant Secretary's Orders (ASOs) are limited to delegations of authority, emergency directives, special assignment of functions, and initial policy and functional statements establishing a new organizational unit. ASO provisions remain in effect for one year unless extended, revoked, or incorporated into the IAM. ASOs are signed only by the Assistant Secretary, the Principal Deputy Assistant Secretary, or an Acting Assistant Secretary.

Once it has been determined that an ASO is the necessary level of policy:

- **The office with primary subject responsibility (the originating office) prepares the Order's content and circulates the draft internally for review and comment.**
- **RACA reviews the draft document** for format, proper delegation of authority, and assigns a release number, and coordinates any recommended changes or corrections with the originating office.
- **Once the text is revised in response to comments, the originating office works with RACA to determine the appropriate routing for surnaming and final signatory authority.** RACA will coordinate with the DTS Administrator and the AS-IA administrative staff on routing the document through DTS for surnaming (if appropriate) and obtaining approval from the DOI Office of the Executive Secretariat (Exec Sec).
- **RACA reviews any comments/edits received throughout the surnaming process,** and coordinates any recommended changes or corrections with the originating office.
- **The original, signed document(s) is 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 RACA's records management system, prints the surnaming report from DTS for the hard copy file, and publishes the final version of the document to the IA Internet.
- **When the ASO is published, RACA sends an email to AS-IA, Central, and Regional Office Directors and Deputy Directors** with the link to the electronic location of the document so it can be accessed and printed.

## Template - Assistant Secretary's Order

[For Office of the Secretary letterhead] [Font is Times New Roman, 12 point]

Assistant Secretary's Order No. X [Margins = 1 inch, all sides]

Signature date: [Month spelled out, day, year]

Subject: Main topic for ASO action

**Sec. 1 Purpose.** This is the proper format for an Assistant Secretary's Order (ASO). Legal authority for the action being taken may be included in this section.

**Sec. 2 Subject.** The subject title should be brief and generally descriptive of the text. In an amendment to an existing Order, the original subject should be used unless it has been amended.

**Sec. 3 Section.** If the text of an Order requires more than a single paragraph, it is divided into sections. Each section is designated by a number, followed by the section heading typed in bold, flush with the left margin, and ending in a period. Use single spaces between section number and section heading, and between the section heading and the text.

a. If the text of a section is divided, subdivisions are also flush with the left margin. The first subdivision of a section is a paragraph, designated by a lower case letter followed by a period.

(1) If a paragraph must be further divided, the resulting subparagraph is designated by a number enclosed within parentheses.

(a) If dividing the text of a subparagraph is unavoidable, the division is designated by a lower case letter also enclosed within parentheses.

**Sec. 4 Numbering of Assistant Secretary's Orders.** RACA issues a new Order number for new documents, or an amendment number for an existing Order.

**Sec. 5 Amendments to Orders.** An amendment to an existing ASO should state the exact nature of the action being taken. For example, "Assistant Secretary's Order 7 is amended to add two new sections, numbered 5 and 6, as follows; "If more than one action is being taken by an amendment, each amending statement is designated by a number, followed by a period (1., 2., 3.).

**Sec. 6 Expiration Date.** This Order is effective (immediately/provide date). Its provisions remain in effect until (describe event), or until it is incorporated into the Indian Affairs Manual. This order will expire (one year from effective date) unless amended, superseded, or revoked.

Date:

/Signed/  
Assistant Secretary - Indian Affairs



# United States Department of the Interior

## OFFICE OF THE SECRETARY

Washington, D.C. 20240

### **EXAMPLE**

Assistant Secretary's Order No. 1

Signature date: September 24, 2004

Subject: Reassignment of Personnel Security and Emergency Management Functions

**Sec. 1 Purpose.** This order reassigns the personnel security and emergency management functions in the Office of the Assistant Secretary - Indian Affairs and the Bureau of Indian Affairs.

**Sec. 2 Personnel Security.** The personnel security functions, which are currently assigned to the Bureau of Indian Affairs, Deputy Director, Law Enforcement Services (130 DM 4.2D), are reassigned to the Office of the Assistant Secretary - Indian Affairs, Deputy Assistant Secretary - Management, Office of Human Resources (110 DM 8.4C).

**Sec. 3 Emergency Management.** The emergency management functions including continuity of operations and homeland security activities currently assigned to the Office of the Assistant Secretary - Indian Affairs, Deputy Assistant Secretary - Management (110 DM 8.4), are reassigned to the BIA, Deputy Director, Law Enforcement Services (130 DM 4.2D).

**Sec. 4 Delegation.** The Deputy Assistant Secretary - Management and the Deputy Director, Law Enforcement Services are delegated the authority necessary to carry out the responsibilities of these functions.

**Sec. 5 Implementation.** The Deputy Assistant Secretary - Management is responsible for implementing this Order, including the appropriate transfer for personnel, funds, programs, records, and property.

**Sec. 6 Expiration Date.** This Order is effective October 1, 2004. It will remain in effect until its provisions are incorporated into the Departmental Manual, or until it is amended, superseded, or revoked, whichever occurs first. In the absence of any of the foregoing actions, the provisions of this Order will terminate and be considered obsolete on September 30, 2005.

Date: September 24, 2004

/Signed/

Assistant Secretary – Indian Affairs

# 15-04, Updated: 11/ 2014  
Replaces #07-57, Updated: 2/28/12

## CHAPTER 3 ROUTING and SURNAMING

Once the draft policy has been circulated internally for review and comment, reviewed by RACA, and all edits incorporated as necessary, it is then considered ‘final’ and ready for surnaming and final signature. The surname process is used to coordinate official review and concurrence with the content of a written document(s). This process is designed to improve internal communication, to ensure that policy is accurate, and to ensure IA provides consistent guidance. In all cases, the originating office will work with RACA to ensure all necessary surnames have been obtained.

Policy documents should be routed through offices/authorities with a direct interest in or responsibility for, the functions or responsibilities that are covered by the policy. If the **Responsibilities** section of a policy basically restates what is required by law, Executive Order, and/or Departmental requirements, it is not always necessary to route the policy for signatures through all offices in the section. It is subject understood that offices, Programs, and/or Bureau management should be aware of legal and/or Departmental requirements. If the authoring office wants to ensure awareness and concurrence by all parties identified in the **Responsibilities** section, however, it is at their discretion which offices/authorities should review and surname the document.

While the identification of appropriate officials for surnaming is a case-by-case determination, some general requirements are:

- **AS-IA Office Directors** and **BIA/BIE Deputy Bureau Directors** must surname any policy originating in their organization that requires the signature of the Director, BIA; Director, BIE; or any official in the Office of the Assistant Secretary.
- **Subject Matter Experts** must review policy that addresses specific matters. For example: a policy concerning performance measurement reporting should involve the Office of Budget and Performance Management staff.
- Any policy document that requires the signature of the **AS-IA** must be routed through the Office of Executive Secretariat (Exec Sec), including **Homeland Security** policy. Additionally, Exec Sec requires DOI Solicitor Office surname on anything the AS-IA signs.
- Policy documents regarding Individual Indian Money accounts/issues, Trust responsibilities/obligations issues, potentially high visibility/contentious issues, or issues requiring legal concurrence should be surnamed by the **DOI Solicitor’s office**.

General routing for IAM chapters and NPMs:

- Originating program office
- Other offices affected by the directive
- Deputy Bureau Director/Director of program or functional area
- Approving Official: Assistant Secretary (AS-IA); Principal Deputy Assistant Secretary (PDAS); Deputy Assistant Secretary (DAS); Director, BIA; or Director, BIE
- Office of Regulatory Affairs and Collaborative Action (RACA) for final action

# 15-04, Updated: 11/ 2014

Replaces #07-57, Updated: 2/28/12

General routing for Handbook, RDs, and RPMs:

- Originating program office
- Other offices affected by the directive
- Deputy Bureau Director/Director of program or functional area
- Approving Official for program or functional area (Director or Regional Director)
- Office of Regulatory Affairs and Collaborative Action (RACA) for final action

General routing for ASO's:

- Originating program office
- Other offices affected by the Order
- Deputy Bureau Director/Director of program area
- Deputy Assistant Secretary; Director, BIA; or Director, BIE
- Approving official: Assistant Secretary, Acting Assistant Secretary, Principal Deputy Assistant Secretary
- Office of Regulatory Affairs and Collaborative Action (RACA) for final action

### **3.1 Use of the Data Tracking System (DTS)**

In 2014, RACA implemented the Policy database within the Data Tracking System (DTS). DTS is the Department's enterprise-wide correspondence system. The transition to DTS not only reduces paper creation and waste, but is also in-line with the Department's transition to an all-electronic surnaming and approval process.

All IA bureaus and offices are required to use DTS for creating, tracking, logging, and processing official IA correspondence. Given the success of utilizing DTS for controlling correspondence, IA expanded DTS to include the Federal Register database, and now the Policy database.

Implementation of the Policy database allows for electronic surnaming within the system, and negates the need for hard copy surnaming packages for policy documents. Therefore, the Clearance Record and Transmittal sheet documents are no longer needed. RACA will continue to work with management and program staff to determine the correct surnaming participants before routing for action in the system. With the implementation of the Policy database, the following procedures will apply:

- ALL IA policy and directives will be routed in DTS by RACA;
- All documents will be routed for electronic surnaming and will not be surnamed in any other manner (i.e., no hard copy routing);
- Transmittal and Clearance Sheets will no longer be used;
- Final signature authority will sign the signature page (i.e., last page of the policy or directive); and

- When a document is signed, the signatory authority’s staff or other program staff should upload the scanned original into DTS, and return the signed hard copy to RACA for their official record.

Timely review of documents is extremely important. **Offices and management involved in the surnaming process should strive to review and surname the document within the timeframe allotted in DTS (typically 3-5 business days).** While policy is generally considered ‘final’ once it begins the surnaming process, any edits or suggestions must be made in the Comments section within DTS. However, the reviewer should not hold up surnaming for these edits/comments.

### 3.2 Signature Authority Requirements

The chart below shows the signature authority requirements for each category of policy/directive. The Approving Official must be at the **Bureau Director level or above** for *all* policies. **Note:** 230 DM 1, Delegation of Authority (from the AS-IA) to Director, Bureau of Indian Affairs and the Director, Bureau of Indian Education, states: “Authority to approve additions to or modifications to the Indian Affairs Manual may not be redelegated.”

Type	Authority
IAM	Assistant Secretary - Indian Affairs (AS-IA), Principal Deputy Assistant Secretary (PDAS), Deputy Assistant Secretaries (DAS), Director, Bureau of Indian Affairs (BIA), Director, Bureau of Indian Education (BIE)
Handbook	Deputy Assistant Secretary – Management (for AS-IA Directors), Director-BIA, Director-BIE
NPM	AS-IA, PDAS, DAS, Director-BIA, Director-BIE
RD, RPM	Director-BIA, Director-BIE
ASO	AS-IA, PDAS, Acting AS-IA

## Appendix 1 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 (IAM chapters, Handbooks, and Regional Directives), 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 IAM); the type of directive being produced; and the respective chapter number.

For example, an IAM chapter from Education would have a document identification number beginning with 33 (the Part # for Education), then IAM (identifying the type of document), followed by the respective chapter release number (i.e., **33 IAM 5**).

Handbooks that are companions to IAM chapters are identified by an “-H” at the end of the associated IAM document identification number (i.e., the handbook associated with Education chapter 33 IAM 5 would be **33 IAM 5 - H**).

Regional Directives are differentiated by the two-letter Regional Office Letter Code for the particular region producing the directive (i.e., “- MW”) at the end of the associated IAM document identification number. A Regional Directive further refining 33 IAM 5, pertaining specifically to employees within the jurisdiction of Midwest region would be **33 IAM 5 - MW**.

### Temporary (Interim) Policy

For NPMs, 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, a NPM from Human Capital Management would begin with NPM (acronym for the type of directive) - followed by HCM (the issuing office letter code), and a number (i.e., **NPM-HCM-8**).

For RPMs, the document identification number is constructed of: the acronym for the type of directive; the two-letter Regional Office Letter Code for the particular region producing the directive (for example “- MW”); the Issuing Office Letter Code; and a consecutive number based on the originating office’s production of directives. For example, the Regional Policy Memorandum pertaining only to IA employees within the jurisdiction of Midwest Region, further refining the NPM for Human Capital Management may read **RPM-MW-HCM-8**.

For ASOs, the document identification number is just ASO and the consecutive numeric (i.e., **ASO-4**).

**Citation**

## IAM ##	Indian Affairs Manual chapters
## IAM ## - H	Handbook to the Indian Affairs Manual
## IAM ## - XY	Regional Directive ( <i>XY being the respective Regional office letter code</i> )
NPM- XXX - #	National Policy Memorandum
RPM- XY -XXX- #	Regional Policy Memorandum ( <i>XY = Regional office letter code</i> )
ASO- #	Assistant Secretary's Order

**Type of Directive****Key**

#	= Consecutive numbering
##	= IAM Part/Chapter numbers
H	= Handbook of the IAM
XY	= Regional Office Letter Code
XXX	= Issuing Office Letter Code

**Regional Office Letter Codes for Regional Directives and Regional Policy Memoranda**

AK	Alaska	NW	Northwest
EA	Eastern	PA	Pacific
EO	Eastern Oklahoma	RM	Rocky Mountain
GP	Great Plains	SO	Southern Plains
MW	Midwest	SW	Southwest
NA	Navajo	WE	Western

**(XXX) Issuing Office Letter Codes for National and Regional Policy Memoranda**

*\* Issuing Office Letter Codes are in the process of being updated by the respective program and functional authorities to reflect the new organizational structure and program responsibilities.*

ACKN	Acknowledgment	IT	Information Technology
ACQU	Acquisition	JS	Justice Services [formerly Law Enforcement]
AUD	Audit		
BUDG	Budget	LEGIS	Legislative Affairs
COO	Continuity of Operations	MGMT	Management
CULT	Cultural Resources	PA	Public Affairs
DIR	Directives Management	PROP	Property
ECON	Economic Development	RACA	Regulatory Affairs & Collaborative Action
EDUC	Education		
ENV	Environment	SAFT	Safety
FIN	Financial Management	SELFD	Self-Determination
OFECR	Facilities Management	SELFG	Self-Governance
GAME	Gaming	TEL	Telecommunications
HCM	Human Resources	TRIB	Tribal Services
		TRUS	Trust Services

## Appendix 2 Index of the Parts and Chapters of the Indian Affairs Manual

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 by clicking on the IA Internet site:

<http://www.bia.gov/WhatWeDo/Knowledge/Directives/IAM/index.htm>

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

0 – 10	Items of General Interest
11 – 17	Relationships with Tribes, Congress, the States, and the Public
18 – 29	Management and Administration
30 – 34	Education Programs
35 – 39	Reserved
40 – 42	Law Enforcement and Security Services
43 – 48	Economic Development
49 – 56	Trust Services
57 – 57	Transportation
58 – 59	Environmental and Cultural Resources Management
60 – 69	Information Technology
70 – 75	Indian Services
76 – 76	Indian Land Consolidation Program
77 – 79	Reserved
80 – 89	Construction and Maintenance
90 – 92	Emergency Operations
93 – 100	Reserved
101 – 105	Trust Funds Management

**Index of Parts and Chapters.** Chapters without Issue Dates should be under development with the programs. An example of what the Index looks like:

Parts and Chapters	Title	Issue Date
<i>ITEMS OF GENERAL INTEREST (Parts 0 – 10)</i>		
Part 0	<b>Introduction and Index</b>	
Chapter 1	Introduction and Index	04/23/08
2	Index (Note: the ‘Index’ referred to here is this document)	Work in Progress
Part 1	<b>Indian Affairs Directives System</b>	
Chapter 1	General	04/23/08
2	Federal Register Documents	10/25/99
3	Indian Affairs Manual (IAM)	04/23/08
4	Handbooks to the Indian Affairs Manual	04/23/08