

# INDIAN AFFAIRS MANUAL

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**1.1 Purpose.** The Indian Affairs' (IA) Directives System is comprised of the policies and procedures that document the functions under the authority of the Assistant Secretary of Indian Affairs (AS-IA)<sup>1</sup>. The Directives System provides the framework for developing and publishing clear and consistent IA program and administrative policy; facilitates IA's compliance with laws and other requirements to have accurate and accessible documentation for staff and the public; provides appropriate controls and documentation of IA program and administrative functions; provides guidance to facilitate employees' performance of their duties and responsibilities; and generally improves accountability across IA.

The two terms "policy" and "directives" are often used interchangeably to refer to the components of the IA Directives System.

**1.2 Scope.** The Directives System contains the policies and procedures for all functions under the authority of the AS-IA, including offices reporting to the AS-IA, the Bureau of Indian Affairs (BIA), and the Bureau of Indian Education (BIE). IA offices and employees must follow the directives that apply to them.

**1.3 Policy.** It is IA's policy to comply with all applicable federal laws and regulations, and Department of the Interior (DOI) policies and procedures regarding directives management. Directives are essential to satisfying federal requirements that specific information be made available to the public, and to address Departmental requirements to provide instructions and guidance to enable employees to perform their duties and responsibilities.

**1.4 Authority.**

**A. Statutes and Regulations.**

- 1) 5 U.S.C. 5, Subchapters I – III, Administrative Procedure
- 1) 29 U.S.C. § 794 (d), Section 508 of the Rehabilitation Act of 1973, as amended
- 2) 44 U.S.C. §§ 3101-3102, Records Management by Federal Agencies

**B. Guidance.**

- 1) 380 Departmental Manual (DM) 1, Records Management Program Roles and Responsibilities

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<sup>1</sup> The Bureau of Trust Funds Administration's (BTFA) policies and directives are managed and maintained separately, and therefore generally not considered part of the IA Directives System. However, there are rare occasions when IA policy may be applicable to BTFA. All BTFA policies and templates can be found on their respective SharePoint site: <https://doimssp.sharepoint.com/sites/btfa-official-documents/SitePages/Policies.aspx>.

# INDIAN AFFAIRS MANUAL

Part 1

Indian Affairs Directives System

Chapter 1

General

Page 2

- 2) 381 DM 1, Directives Management
- 3) 381 DM 3, Directives of Other Agencies
- 4) 381 DM 4, Departmental Directives System
- 5) 381 DM 11 – 13, Origination of Records and Information
- 6) 386 DM 3, Web Standards and Guidelines
- 6) 18 IAM 5: Directives System
- 7) Memorandum, Indian Affairs Policy and Directives, February 17, 2016
- 8) Memorandum, Indian Affairs Policy Database, November 24, 2014
- 9) U.S. Government Accountability Office, Standards for Internal Control in the Federal Government (GAO-14-704G)

## C. Handbooks.

- 1) 1 IAM 1-H, Indian Affairs Directives System Handbook

## 1.4 Responsibilities.

### A. RACA is responsible for oversight of the IA Directives System, which includes:

- 1) developing guidance and templates to assist IA programs in establishing policies and procedures to document their functions;
- 2) maintaining and modifying (as needed) the Indian Affairs Manual (IAM) Parts and the other directives' Document Identification Numbers (DINs)/nomenclature;
- 3) providing technical assistance and advice to IA programs in the development of directives;
- 4) assigning and managing release numbers and document identification numbers for directives;
- 5) tracking directives from initial inception through completion, including final reviews, surnaming, and signature;
- 6) reviewing and editing directives for format, authorities, proper delegation of authority, the use of plain language, and other factors to ensure ease of use and reading comprehension;

## INDIAN AFFAIRS MANUAL

- 7) coordinating edits with the originating office (also referred to as the “authoring” office);
- 8) determining when a policy may need additional review by the Office of the Solicitor (SOL) or other appropriate offices, in consultation with the originating office;
- 9) determining when a directive is “final,” in coordination with the originating office (RACA makes the final determination);
- 10) determining with the originating office the appropriate management/senior leadership surnames and final signature required for the directive(s);
- 11) managing the Policy Database within the Data Tracking System (DTS), and uploading and routing all directives within the system to the appropriate parties for review and surname/final signature;
- 12) completing final processing, including compliance with Section 508 of the Rehabilitation Act of 1973, as amended;
- 13) publishing the directive once it’s been signed, and communicating via email to the appropriate parties once the directive has been published;
- 14) maintaining all official policy/directives records for IA, including performing all records management related tasks and proper documentation for directives; and
- 15) managing all directive-related webpages and content management.

**B. IA Offices (including offices under the AS-IA, BIA, BIE, Central Office, regional offices, and agency offices)** are considered the “originating” office (or “authoring” office), and are responsible for:

- 1) maintaining current directives, revising existing chapters, and removing outdated information from directives related to their respective programs;
- 2) responding to RACA’s requests in a timely manner for information and/or assistance related to their directives;
- 3) coordinating directives development/updating with RACA;
- 4) developing directives content;
- 5) circulating drafts for internal review and comment as well as to RACA;
- 6) addressing RACA’s edits to directives, and working with RACA to bring the directive to a “final” status in a timely manner;
- 7) consulting with RACA on the appropriate management/senior leadership involvement for review and surnaming/final signature; and

# INDIAN AFFAIRS MANUAL

Part 1

Indian Affairs Directives System

Chapter 1

General

Page 4

- 8) ensuring that employees are aware of directives that effect their programs, and distributing the directive(s) as needed in electronic or print format to employees regardless of location.

## 1.6 Definitions.

- A. Directive** is a means of written or verbal communication that conveys a specific instruction, often to *do* something (or not do something), to support consistent application of, or changes to, policies and procedures.
- B. Directives Management** is the effective and efficient process of controlled directives and their distribution, use, maintenance, and disposition.
- C. Document Identification Number (DIN)** is the unique identification number for the type of directive being issued. Additional guidance on how DINs are assigned is provided in 1 IAM 1-H, IA Directives System Handbook.

## 1.7 Standards, Requirements, and Procedures.

### A. Standards and Requirements

- 1) The IA Directives System is comprised of six key components: IAMs, Regional Directives (RDs), Handbooks (HBs), National Policy Memorandums (NPMs), Regional Policy Memorandums (RPMs), and Assistant Secretary's Orders (ASOs). More information on these directive components can be found in 1 IAM 1-H: IA Directives System Handbook.
- 2) IA's directives are intended only to improve the internal management of the offices of the ASIA, BIA, and BIE (and BTFA, as appropriate). They are not intended to, and do not, create any right or benefit, substantive or procedural, enforceable by law or equity by a party against the United States, its departments, agencies, instrumentalities or entities, its officers or employees, or any other person.
- 3) Given that the components of the IA Directives System are considered "operational policy" that apply only to federal employees carrying out federal functions, developing or updating a directive would not normally have Tribal implications or require the need for Tribal consultation. However, if a circumstance arose (which would be very rare) where a new directive or an update to a directive component would have significant Tribal implications, RACA would work with the program office to ensure compliance with Tribal consultation procedures as documented in Executive Order (EO) 13175 and Departmental policy.

# INDIAN AFFAIRS MANUAL

Part 1  
Chapter 1

Indian Affairs Directives System  
General

Page 5

- 4) While SOL involvement in directives development and/or updating is not required, there may be circumstances where SOL should be involved in and/or review a directive before it is approved by IA management/senior leadership. RACA will work with IA offices/programs on a case-by-case basis to determine if such involvement is necessary.

## B. Procedures

- 1) See 1 IAM 1-H: IA Directives System Handbook for detailed procedures related to developing and/or updating directives.
- 2) Additionally, programs should review the PowerPoint: “How to Develop a Policy or Directive.” This document is located on RACA’s SharePoint site here: <https://doimspp.sharepoint.com/sites/doi-asia-raca/SitePages/IA-Directives-System.aspx>.
- 3) All IA employees can locate directive templates and examples on RACA’s SharePoint site here: <https://doimspp.sharepoint.com/sites/doi-asia-raca/SitePages/IA-Directives-System.aspx>. No other templates should be used, and employees should not modify the templates for any reason.

## Approval



October 17, 2024

Wizipan Garriott  
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Date