

“To-Be” Gap Analysis Implementation Steps

1. Gap Identification: Ownership – Conveyances Gap Number 1: Standardize Conveyance Processes
2. Implementation Steps:
 - a. Step 1: Standardize business operating procedures for conveyances.
 - i. Develop an application format for each type of acquisition or disposal
 1. Develop format requirements for each application
 2. Automate format for applications
 - ii. Develop standard procedures for each type of acquisition and disposal transaction
 1. Develop minimum requirements for criteria to be used for each transaction
 2. Develop minimum requirements for required supporting documentation for each transaction
 - iii. Develop training on new procedures
 1. Training for Credit and Finance (mortgages)
 2. Acquisition and disposal
 - iv. Develop an implementation plan for roll-out of new procedures
 - v. Deploy new conveyance procedures based on the implementation plan
 - vi. Provide training per the implementation plan
 - vii. Develop performance measures for conveyance process
 - viii. Develop Outreach content in conjunction with the BRDM process
 - ix. Schedule and deliver Outreach activities
 - b. Step 2: Develop acquisition and disposal conveyance application checklist on an interactive CD
 - i. Develop application checklist for use by the beneficiary delineating what is required to complete an application
 - ii. Develop application checklist for use by BRDM to verify application documentation provided is complete
 - c. Step 3: Standardize format for recommendation to the Designated Line Official
 - i. Automated recommendation format will be utilized by program staff and will include:
 1. Statutory authority
 2. Scope of the transaction
 3. Background
 4. Recommendation to accept or deny
 - ii. Develop and provide training on recommendation format as outlined in Step 1
 - d. Step 4: On-Reservation Fee to Trust Acquisitions of undivided interest 30-day notification

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- i. Develop a standard format for notification of the 30-day time period to negotiate and or mediate with the tribe to eliminate any identified jurisdictional issues
 - ii. Develop training for all automated notifications
 - iii. Provide training to staff
- e. Step 5: There is no extension of time after the initial 30-day notification for On-Reservation Fee to Trust Acquisitions of undivided interest
- f. Step 6: Streamline justification required for On-Reservation Fee to Trust acquisitions of undivided interest for the purposes of economic development, self-determination, housing opportunities and ILCA related acquisitions
 - i. Develop a standard format application for these specific purposes
 - ii. Develop a streamlined standard format of required justification for these specific purposes
 - iii. Develop training for staff
 - iv. Provide training to staff
- g. Step 7: Standardize format for two 30-day notification periods
 - i. Develop a standard format for 30-day notification at completed application
 - ii. Develop a standard format for 30-day notification at publication
- h. Step 8: Provide Solicitor automated capability to transmit and receive Preliminary and Final Title Opinions

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3. Dependencies on Business Processes:

Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
BRDM		
Predecessors	1. B.6.2.1 Beneficiary Involvement for Ownership	1. BRDM has verified the written application is complete using an automated checklist of required documentation. 2. Assist in coordinating negotiation considerations to jurisdictional issues identified after the 30-day notice.
Successors	1. B.3 Communicate Information 2. B.5.1 Conduct Outreach Activity 3. B.5.2 Post Outreach Activity 4. B.6.3.1 Beneficiary Account Administration	1. BRDM notifies applicant of approval/denial. 2. Participation in Outreach opportunity is requested. 3. Participation in debrief of Outreach opportunity is needed. 4. Notify BRDM an account needs to be established for a partition, exchange, or gift deed.
FO		
Predecessors	1. FO.1.3 Reconcile Exceptions and Produce Report 2. FO.3.3 Reconcile Pre-Disbursement Exceptions 3. FO.3.6 Reconcile Deficiencies	1. Receive a receipts deficiency report and assist with resolution. 2. Assist in resolving pre-disbursement report. 3. Assist in resolving disbursement report rejections.
Successors	1. FO.1.1a Create Trust	1. Provide FO process the names of the beneficiaries to receive funds.

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Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
	Funds Receivable 2. FO.3.1 Create Funds Payable	2. Notify FO process when the funds can be disbursed.
LNRP – Wide Area Plan		
Predecessors	1. None	
Successors	1. None	
LNRP - Appraisals		
Predecessors	1. P.1.4 Transmit Determination	1. T-T and T-F. LNRP has prepared a valuation for the proposed acquisition/disposal.
Successors	1. None	
LNRUM		
Predecessors	1. UM.1.4 Obtain Site Specific Environmental Clearances	1. LNRUM has reviewed and approved/rejected a Categorical Exclusion, Environmental Assessment, and Phase 1 Site Assessments in relation to the proposed acquisition/disposal.
	1. None	
Ownership – Title		
Predecessors	1. None	
Successors	1. O.4.1 Record Approved Title Document	1. Send title affecting documents electronically for recordation.
Ownership – Probate		
Predecessors	1. O.3.3 Close Probate Package	1. T-T and T-F. Probate has become final. Automated notification that a conveyance process is required.
Successors	1. None	
Ownership - Conveyance		
Predecessors	1. O.1.1 Receive and	1. Receipt of an application package from BRDM.

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Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
	Review Application Request 2. O.1.1a Serve 30-Day Notices (F-T) On-Reservation 3. O.1.2 Complete Application Package 4. O.1.3 Prepare Recommendation for Delegated Line Official 5. O.1.4 Delegated Line Official to Accept/Deny Application	2. F-T. Jurisdictional issues have been mediated. 3. A review and analysis by Program Staff that the application is complete and all supporting documentation is attached. This includes compliance with laws, regulations, policy and procedures. 4. Submit a standard recommendation to approve or deny an application request. 5. Makes decision to accept or deny application.
Successors	1. O.1.2 Complete Application Package 2. O.1.3 Prepare Recommendation for Delegated Line Official 3. O.1.4 Delegated Line Official to Accept/Deny Application	1. Received an application that has met initial criteria necessary to proceed with the request. Reviewed and analyzed for compliance with statutory and regulatory requirements. 2. Prepare a standard recommendation to approve or deny an application request. 3. Receives and reviews recommendation to accept or deny application.

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	4. O.1.5 Close Transaction	4. If approved, file is closed. If denied and the appeal period has expired then the file is closed.
Ownership - Survey		
Predecessors	1. O.2.2 Provide Existing Information to Requestor 2. O.2.8 Provide Results to Requestor	1. Receive existing information. 2. Receive Survey Services results.
Successors	1. None	

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4. Dependencies on Universal Support Functions:

Universal Support Function	Dependency Description
Automated System Requirements	<ol style="list-style-type: none"> 1. Ability to send requirements for applications. 2. Ability to receive completed applications. 3. Ability to read application information from CD. 4. Field PC’s require read/write CD-ROM. 5. Ability to transmit automated 30-day notice to tribes, State and local governments, and interested parties.
Policies, Procedures and Regulations	<ol style="list-style-type: none"> 1. Policy requiring use of the automated application format. 2. Policy requiring use of standard procedures developed. 3. Policy requiring use of format for Recommendation to Delegated Line Official. 4. Policy regarding use of electronic signatures. 5. Procedures developed for each type of acquisition or disposal. 6. New procedures for 30-day notice of On-Reservation Fee to Trust acquisitions of undivided interests. 7. Regulations changed to reflect new process. 8. Change regulation to allow automated notification of 30-day notices. 9. Develop procedures for automated notification that include a format to request this notification. 10. Eliminate Certified Mail Return Receipt Requested for mailing of 30-day notices for those notices that have been transmitted automatically.
Training	<ol style="list-style-type: none"> 1. Use of the interactive application/checklist CD by: <ol style="list-style-type: none"> a. BRDM b. Applicants c. Staff 2. Staff regarding requirements necessary to complete Recommendation to Delegated Line Official. 3. New procedures for 30-day notice of On-Reservation Fee to Trust acquisitions of undivided interests. 4. Develop training for new standardized procedures.

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Universal Support Function	Dependency Description
	5. Staff trained on procedures for automated notification. 6. Develop training for Credit and Finance regarding new mortgage procedures.
Records Management	1. Maintenance and storage of electronic conveyance records.
Risk Assessment	1. Risk associated with use of fully automated conveyances. 2. Risk associated with maintaining records of those notices that have been transmitted.
Workforce Planning	1. Trainers available to provide training on electronic format as necessary. 2. Clearly defined roles with regard to mortgages (Credit/Finance and Realty). 3. How many staff FTE’s will be required at each location per workload.
Internal Controls / Fiduciary Security	1. Separate levels of security to change these formats. 2. Levels of security required to automate transmittal notification.