



U.S. Department of the Interior
"To-Be" Trust Business Model
Process Template

| | |
|---|------------------------------------|
| Title: Provide Planning Assistance and Approval | Process Number ___P.3___ |
| <i>Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)</i> | |

1. Process Definition *Provide an overview of the process and define its starting and ending points*

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|-----------------------------|--|
| 1.1 Starts With | Receive a request for technical planning assistance to a beneficiary. Receipt of a beneficiary prepared plan. |
| 1.2 Process Overview | <p>DOI emphasizes that the optimal approach to plan development is that the project be initiated and led by a beneficiary, especially for wide-area plans.</p> <p>A Staff Planner receives a request from a beneficiary for technical planning assistance. He/she understands the requestor's support requirements, determines the resource skills needed and secures the subject matter expertise necessary to deliver the assistance requested. DOI may:</p> <ul style="list-style-type: none"> • Provide technical planning assistance and/or identifies and provides specific subject matter expertise to support the development of a macro-level plan. • Enter into a Memorandum of understanding with BIA, a beneficiary, and any other participating agencies to define roles and responsibilities. • Assist in a plan revision due to a change that affects the viability of an existing plan. <p>The Planner may also receive a request for participation in a beneficiary outreach event. He/she provides topics for inclusion and coordinates subject matter experts' participation during the event. When the event is over, the Planner ensures that planning-related action items are completed and captures lessons learned for consideration in organizing future outreach events.</p> <p>When a plan is complete, the Staff Planner reviews and evaluates the documentation provided by the beneficiary, the supporting NEPA documentation, and other documents of authority to determine: 1) compliance with tribal and federal statutory requirements 2) accuracy of data disclosing the natural, physical, and human resources discussed, and 3) the relevance of the plan to current uses and future opportunities. If the documentation is incomplete, the plan is returned to the originator for revision.</p> <p>When the plan is complete, the Staff Planner prepares a Record of Decision as supporting documentation to secure the written approval of the DOI official in order to ensure that the record is complete.</p> |
| 1.3 Stops With | Planning assistance provided that meets the need of the beneficiary. DOI acceptance of the plan. |



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2. Trust Business Objectives *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

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| Goal/Objective |
| Goal 2: Tribal self-governance and self-determination that increase participation in managing assets |
| Goal 4: Land and natural resources management that maximizes return while meeting beneficiary desires |
| Objective 4.1 Land and natural resource asset plans and stewardship strategies: Develop land and natural resource asset plans and stewardship strategies. |
| Objective 4.2 Preservation and protection of land and natural resource assets: Preserve and protect the long-term viability of land and natural resource assets consistent with fiduciary duties and with the beneficiaries' intended use of the assets. |
| Objective 4.3 Land and natural resource asset business management: Manage land and natural resource assets effectively and proactively to obtain fair market value for beneficiaries and to incorporate beneficiary requirements. |

3. How should Beneficiaries be involved in this process?

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| Beneficiary Involvement |
| The beneficiary provides their intent, need and requirements in requesting technical assistance when developing the plan. When the documentation is complete, the beneficiary delivers their plan to DOI for acceptance, distribution and implementation. |

4. Organizations, Offices and Roles. *Identify the DOI organizations and related roles that should be involved in performing the process.*

4.1 DOI Organizations. *Identify the DOI organizations, offices and individual roles that contribute to this process.*

DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.

Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.

All individual roles that contribute, in a significant manner, should be identified.

| Organization | Office | Role | Contribution |
|--------------|--|------|---|
| Tribes | Tribal Governing Body Tribal Program Office | | Request planning assistance. Assemble the planning team. Request the budget. Document and maintain the plan. |



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| Organization | Office | Role | Contribution |
|--|--|------|---|
| | | | Provide environmental data. May hire a contractor to prepare NEPA documentation. Provide a completed plan for DOI acceptance. |
| BIA | Regional Office Agency/Field Office | | Coordinate planning subject matter experts for participation in a planning project or beneficiary outreach event. Provide topics for inclusion in a beneficiary outreach event. Coordinate DOI acceptance process. Update the request tracking system. |
| Fish & Wildlife Services | State Office | | Serve as a subject matter expert. Provide a biological opinion. |
| Park Service | Regional Office | | Serve as a subject matter expert. |
| BIA | Regional Office Agency/Field Office | | Serve as a subject matter expert. |
| BLM | State Office | | Serve as a subject matter expert. |
| Minerals Management Service | Denver Office | | Serve as a subject matter expert. |
| BIA Div. of Energy and Mineral Resources | Central Office | | Serve as a subject matter expert. |
| BIA Roads | Regional Office | | Serve as a subject matter expert. |
| BIA Office of Economic Development | Regional Office | | Serve as a subject matter expert. |
| DOI National Business Center | Office of Appraisal Services | | Serve as a subject matter expert in land and natural resources valuation. |



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| Organization | Office | Role | Contribution |
|--------------------------|---|------|--|
| | | | valuation. |
| Office of Surface Mining | Regional Office | | Serve as a subject matter expert in coal reclamation and environmental mitigation. |
| Bureau of Reclamation | State Office | | Serve as a subject matter expert (water lines). |
| BIA | Regional Office Field/ Agency Office | | Accept the plan and sign the Record of Decision. |
| BIA | Regional Office Field/ Agency Office | | Review NEPA documentation prepared by a contractor |
| OST | Regional Office Field/ Agency Office | | Accept the plan and sign the Record of Decision. |

4.2 External Organizations. *Identify the non-DOI organizations that support the execution or control of this process.*

| External Organization | Contribution |
|---|---|
| Army Corp of Engineers | Identify areas within the plan's boundaries that will require 404 (jurisdictional waters) and 401 (water quality) clearances. |
| State Historic Preservation | Identify areas of historic significance within the plan's boundaries. |
| Environmental Protection Agency | Issue air and water quality permits. Sign environmental clearances. |
| Indian Health Services | Perform percolation tests. Issue permits for community sewer and drinking water systems. |
| Federal Emergency Management Agency | Issue flood plain maps. |
| Any governmental agency designed to coordinate with individual Indians or tribes, such as | Serve as a planning team subject matter expert and may provide some project cost sharing. |



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| External Organization | Contribution |
|--|---|
| tribes, such as Housing & Urban Development Farm Service Agency Veterans' Administration Small Business Administration State school and public land departments State oil, gas and mining departments State environmental quality departments County zoning and planning departments USDA Forest Service (grasslands and forests) Natural Resource Conservation Service (soil and vegetation surveys, range inventories) Federal, state and tribal transportation departments Federal Emergency Management Administration (flood plain maps) Office of Historical Accounting (probate plans) Federal Communications Commission (telecommunications plan) | Provide feedback after review of draft versions of the documentation. |
| Subject matter consultants or contractors | If required expertise is not available, pieces or all of the wide-area planning function could be contracted, for example, to a university or private industry. |

5. Event(s) *Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

| Event | Description | Estimated Frequency |
|-------|---|---------------------|
| | A beneficiary requests macro-level planning assistance. | |



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| Event | Description | Estimated Frequency |
|--------------|--|----------------------------|
| | The cumulative results of land and natural resources use are inconsistent with the plan. | |
| | An acquisition, disposal or change in use of the land and/or natural resources is anticipated or has occurred. | |
| | An existing plan no longer complies with legal requirements or the beneficiary's intention. | |
| | A wide-area plan is received from a beneficiary for DOI acceptance. | |



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6. Inputs and Outputs. *Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*

6.1 Inputs

| Input | Description |
|----------------------------|---|
| Existing or previous plans | A beneficiary has already developed a comprehensive land use plan. |
| Plan context | Beneficiary land use intent and plan purpose, scope and progress. |
| Templates | Example reports and standard language. |
| Environmental documents | Existing environmental assessments, environmental impact statements, biological opinions, Endangered Species Act, 404 permits, archaeological clearances, and paleontological clearances. |
| Funding | Funding available to the beneficiary to be used in development of a wide-area plan. |

6.2 Outputs

| Output | Description |
|---------------------|--|
| Planning assistance | Consultation and advice. |
| DOI accepted plan | |
| Unacceptable plan | Plan is returned to submitter with an explanation attached. Plan may be revised and resubmitted again. |

7. Fiduciary and Legal Obligations and Controls

7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

| Obligation | Source | Business Impact |
|-------------------------|--------|-----------------|
| See Schedule 1 Attached | | |



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7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

| Control | Reason | Description |
|---------------------------------------|---|-------------|
| Memorandum of Understanding is signed | Defines the roles and responsibilities of both DOI and the beneficiary. | |

8. Mechanisms (Systems of Record) *Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.*

| System Name | Support |
|---------------------------------------|--|
| Skills inventory | Personnel data including staff competencies, location and availability to help establish a planning team with the appropriate expertise. |
| Geo referenced data with overlays | The ability to drape aerial photography, digital elevation models, or satellite imagery resource data over survey measurements and boundary lines. Ability to manipulate and retrieve GIS functionality. |
| Integrated data | Trust integrated data, including links to county and tribal sources. |
| Change control and historical archive | Track plan history and revisions. |
| Document imaging | The ability to scan hardcopy documents into a digital format. |

9. Inter-Process Relationships *Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.*

9.1 Predecessors. *Predecessors are processes that either produce information required by this process or that result in the need to execute this process.*

| Process No. | Name | Condition of Relationship |
|-------------|-------------------------|---|
| B.2.4 | BRDM: Transfer Requests | Receive a request from a beneficiary for technical assistance in developing a macro-level plan. Receive a request from a beneficiary to have a plan approved by DOI. |
| P.1.4 | Transmit Determination | Data from an approved wide-area valuation will be included in the development of the beneficiary-developed plan. |



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| Process No. | Name | Condition of Relationship |
|-------------|--|--|
| U.3.4 | LNRUM: Provide Land Use Technical Assistance | Provide subject matter expertise to fill the beneficiary's planning support request. |

9.2 Successors. *Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.*

| Process No. | Name | Condition of Relationship |
|-------------|---|--|
| B.3 | BRDM: Communication Information | Return the plan to beneficiary if the plan is incomplete. Distribute an approved plan to interested parties. |
| B.5.1 | BRDM: Conduct Outreach Activity | Provide topics for inclusion in the activity. Participate in the outreach event. |
| B.5.2 | BRDM: Post Outreach Activity | Participate in action items and lessons learned review. |
| UM.1.1 | LNRUM: Establish Management Unit Baseline | Implement the plan. |
| P.4 | Evaluate an Existing Plan | If changes to land and natural resources ownership, status and/or use occur, the plan will be evaluated for continued viability. |

10. Comments *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

| Category | Comment |
|----------------|--|
| Recommendation | Federal grant money should be made available to beneficiaries that are willing to develop plans. |