Title: Accept Inquiry/Request

Process Number
______**B.1.**__________

Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

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

1.1 Starts With	Beneficiary (Tribe or individual Indian) or External Entity Contact
1.2 Process Overview	Requests from beneficiaries, 3rd parties and the general public may be accepted through a variety of communication channels including: • Telephone call to the Call Center, • Telephone call or walk-in to an Integrated Servicing Office, • Email to an Integrated Servicing Office, • Transfer of a Telephone call or walk-in from an operational office to an Integrated Servicing Office, or • Telephone call or walk-in to an operational office. In addition, notification requiring immediate action may be received, i.e., trespass. Note: Requestors calling or walking into an operational office should be encouraged to contact an Integrated Servicing Office. The operational office representative needs to walk with the requestor to the Integrated Servicing Office to introduce him / her to the trust officer or another member of the integrated servicing team. Sub processes include: • B.1.1 – Verify Beneficiary Identity • B.1.2 – Document Contact • B.1.3 – Verify Right to Information
1.3 Stops With	Documented Inquiry / Request

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

Goal/Objective
Provide beneficiaries with convenient access to trust account services and information.
Develop an accessible point of contact who can provide any individual Indian or tribal representative with any requested trust asset information or service regardless of ownership region or area.
Foster expansion of self-governance compacts and self-determination contracts in a manner consistent with DOI's fiduciary responsibilities.

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3. How should Beneficiaries be involved in this process?

Beneficiary Involvement
• This process is activated upon a beneficiary making an inquiry / request or providing information. The beneficiary is required to prove their identity so they may be verified as a beneficiary and to ensure access to confidential information.   • The beneficiary is required to articulate his / her inquiry / request and provide collateral information needed to help understand the inquiry / request. He / she is also required to provide his / her choice for the channel of communication to receive a response. The beneficiary's email address must be verified, if the channel of communication is the Internet.   • The requestor makes an inquiry / request on behalf of a beneficiary.

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
BIA	Agency (Integrated Servicing Office)		Primary contact for beneficiaries
OST	Agency (Integrated Servicing Office)		Primary contact for beneficiaries
BLM	Field Office		Verify the beneficiary's identity when the BLM officer acts as the "single point" of contact for a beneficiary's inquiry / request.
MMS	ICAM Financial Management		Verify the beneficiary's identity when the MMS officer acts as the "single point" of contact for a beneficiary's inquiry / request.
OHA	Regional Office		Verify the beneficiary's identity when the OHA officer acts as the "single point" of contact for a beneficiary's inquiry / request.

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Organization	Office	Role	Contribution
OSM	Field Office Regional Office		Verify the beneficiary's identity when the OSM officer acts as the "single point" of contact for a beneficiary's inquiry / request.
Compacted / Contracted Tribes	Tribal / Consortium Office		Serve as a single point of contact for beneficiaries and depends upon the degree of self-determination.

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

External Organization	Contribution
None	

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
Beneficiary telephone call to Call Center or Integrated Servicing Office.	Telephone calls may either be made directly to an Integrated Servicing Office or the telephone call may be redirected from a call center to an Integrated Servicing Office.	
Beneficiary telephone call to an operational office.	Some beneficiaries may call directly to an operational office. If the operational office accepts the beneficiary's inquiry or request, the operational office must follow the BRDM process and procedures.	
Beneficiary walk-in to Integrated Servicing Office.	Beneficiary may walk-in to an Integrated Servicing Office.	

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Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Event	**Description**	**Estimated Frequency**
Beneficiary walk-in to an operational office.	Some beneficiaries may walk-in to an operational office. If the operational office accepts the beneficiary's inquiry or request, the operational office must follow the BRDM process and procedures.	
Beneficiary contact via Internet	As the Internet capability develops, a beneficiary may submit an inquiry / request via the Internet to an Integrated Servicing Office. In addition, a beneficiary may have direct access to a portion of their account information via the Internet.	
Beneficiary contact via kiosk	As the kiosk capability develops, a beneficiary may submit an inquiry / request via the kiosk to access their account information.	
Beneficiary authentication	Successful completion of a beneficiary's authentication (B.1.1).	
Satisfaction survey response	A satisfaction survey response may initiate an inquiry / request that needs to be documented. (B.3.5).	
Notification requiring immediate action	Anyone may notify the Integrated Servicing Office whenever there a trust asset is endangered.	
Public information request	Anyone may contact the Integrated Servicing Office to obtain information of a public nature.	
3rd Party request	A 3rd party may make an inquiry / request on behalf of a beneficiary.	
External entity request	3rd party request for beneficiary information that requires proof of the requestor's identity and confirmation of the requestor's entitlement to the requested information.	

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**
Personal Identification Number (PIN)	The unique PIN assigned to an individual beneficiary is the primary method used to verify a beneficiary's identity.

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Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Input	Description
Beneficiary's personal information	Personal information, such as name, address, account holder's name, account holder's address, date of birth, social security number and account number may be used as a secondary method to verify a beneficiary's identity and used to issue a new PIN.
Inquiry / request / notification	An inquiry / request / notification is provided.
3rd party requestor representation information	Requestor identification information includes, notarized documents (power of attorney), privacy act release and court order.

6.2 Outputs

Output	Description
Authentication of a beneficiary's identity	Confirmation of a beneficiary's identification is obtained by checking his / her information against trust integrated data records. Confirmation allows the Integrated Servicing Office to act upon an inquiry / request and /or provide or release trust information.
Unauthenticated beneficiary's identity	The beneficiary's inquiry / request is declined when his / her authentication cannot be determined.
Personal Identification Number (PIN)	A new PIN is provided to a beneficiary when they provide the required secondary personal information.
Documented inquiry / request / notification	The inquiry / request / notification is documented in the tracking system.
Inquiry / request / notification owner	The tracking system automatically notifies the assigned owner that he / she is responsible and accountable for providing a response. The original request owner is automatically notified when there are repeat inquiries.
Right to information verified	3rd party representation is verified according to information stored in the trust integrated data.
Right to information not verified	3rd party representation is requested in writing when the representation is not stored in the Trust integrated data.

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Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

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
Secretary's Trust Principles		Provides guidance on responsibility for the management of the Indian trust assets, information and records.
5 USC 552 (Privacy Act / Freedom on Information Act)		Provides protection of the beneficiary's identification and confidential personal information.
25 CFR 115 (Trust Funds for Tribes and Individual Indians Regulations		Provides regulations governing beneficiary trust accounts.
25 CFR 179 (Life Estates and Future Interests Regulations)		Helps define guidelines for estate planning.
25 CFR 1200 (American Indian Trust Fund Management Reform Act)		Establishes oversight on DOI Trust reform efforts and allows the Secretary to discharge trust responsibilities.
25 USC 4001		Provides authority for 25 CFR 1200.

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
BIA / OST Interagency Procedures Handbook	Ensures consistency in obtaining beneficiary identity information	Contains standard administrative operating procedures for releasing IIM account information
Tribal Internal Control Mechanisms	Supports self-governance and ensures tribal compliance with fiduciary and legal responsibilities.	Establishes tribal standard administrative operating procedures.
Tracking System Standard Operating Procedures	Ensures consistency in documenting inquiries / requests / notifications	Contains standard administrative operating procedures for documenting contact.

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Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

Control	Reason	Description
Inquiry / request / notification ownership	Ensures that a person has responsibility and accountability for providing a response for the inquiry / request / notification.	An owner is assigned to an inquiry / request / notification until a response is communicated or transferred to another operational office. The transfer of ownership is communicated to the requestor and the new owner acquires the responsibility and accountability.

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
Trust Integrated Data	• Provides access to the beneficiary's identification information for cross checking. • The trust integrated data stores the 3rd party representation identity information and to be accessed for cross checking.
Tracking System	• Tracking data is annotated when a request is declined due to being unable to authenticate the beneficiary's identity. • The inquiry / request / notification is documented in the Tracking System to manage the request. The tracking system should have preformatted touch screens with automated prompting to facilitate data entry. In addition, the tracking system should display historical records for the specific requestor so the Integrated Servicing Officer can view the history while discussing the inquiry / request / notification with the requestor. • The request for written representation identity information from the 3rd party is stored in the tracking system.
Workflow System	Automatically notifies assigned inquiry / request / notification owners.

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.1.1	Verify Beneficiary Identity	The beneficiary's identity must be authenticated prior to documenting the inquiry / request.

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Process No.	**Name**	**Condition of Relationship**
B.1.3	Verify Right to Information	A 3rd party's right to a beneficiary's information must be verified prior to documenting the inquiry / 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.1.2	Document Contact	The inquiry / request is documented after the beneficiary's identity is verified The inquiry / request is documented after the 3rd party's right to information is verified
B.2	Prepare Information	B.2.1 Update a beneficiary's personal data as required. B.2.2 Perform research and analysis of the integrated data to satisfy the inquiry/request. B.2.3 Contact Appropriate Office to satisfy the inquiry / request if research and analysis of the integrated data is insufficient. B.2.4 Transfer Inquiry / Request to Appropriate Office if it can not be satisfied by B.2.2 and B.2.3.
B.6.1	Provide Counsel on Asset Options	Counsel beneficiaries on asset use or protection options. Options will address Financial Planning, Land Planning, Land Use and Land Management.
B.6.3	Account Administration	Perform account administration activities as requested.

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	Review the MMS Office of Indian Royalty Assistance Workload Management System (OWMS) to ensure functionality to support the BRDM tracking activities, make appropriate enhancements and implement.
Recommendation	Process for verifying beneficiary authentication should be used consistently across all the DOI organizations.

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Category	**Comment**
Note	DOI management needs to agree on a primary type of identification, such as PIN, Account Number, Social Security Number, etc.
Note	The Tracking System Standard Operating Procedures need to be written and communicated.