



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

Title: Verify Beneficiary Identity	Process Number
<i>Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)</i>	_____ B.1.1 _____

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

1.1 Starts With	Requirement for beneficiary to provide proof of identity.
1.2 Process Overview	<p>When a beneficiary makes a request for information, technical assistance, a service or asset management counseling it is necessary to authenticate his/her identity in order to release or provide trust information. Normally, the beneficiary provides their name and a Personal Identification Number (PIN) to authenticate identify. If the name and PIN match with records in the trust integrated data the beneficiary's request is documented and processed. If the beneficiary name and PIN do not match with records in the trust integrated data, the request is declined and the action is annotated in the inquiry/request tracking data.</p> <p>In the event that a beneficiary forgets his / her PIN, a secondary set of personal information can be matched with records stored in the trust integrated data and used to verify the beneficiary's identity and to assign a new PIN. The new PIN is stored in the trust integrated data and provided to the beneficiary in hard copy.</p>
1.3 Stops With	Authentication of the beneficiary's identity.

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.

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.



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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.
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.



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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.	
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.	
Beneficiary contact via kiosk	As the kiosk capability develops, a beneficiary may submit an inquiry / request via the kiosk to access their account 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



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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.
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.

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.

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.



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Obligation	Source	Business Impact
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.

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.
Tracking System	Tracking data is annotated when a request is declined due to being unable to authenticate the beneficiary's identity.



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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
None		

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 identity is verified.

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.
Note	DOI management needs to agree on a primary type of identification, such as PIN, Account Number, Social Security Number, etc.