Title: Document Contact **Process Number**

Identify the process in the “Verb Noun” format. (Ex: Maintain Ownership) ______**B.1.2**___________

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

1.1 Starts With	Beneficiary or External Entity making inquiry/request.
1.2 Process Overview	The beneficiary’s or 3rd party’s request for information, technical assistance, a service or asset management counseling is documented in the automated tracking system to manage tracking, forwarding and status of the request. In addition, imminent threat reports to a trust asset, and requests for public information from a beneficiary, or external entity (i.e. general public, lessee) are logged into the automated tracking system. As a request is made, the beneficiary or 3rd party name, identification information and inquiry/request specifics are entered into the tracking system through preformatted touch screens with automated prompting. After the contact information is recorded, the requestors name is matched with records in the tracking system and a request log displaying any historical records of previous requests from the requestor. The requestor is also prompted to identify their preferred communication channel for receiving the response (i.e., verbal, written letter or e-mail). Previous response mechanisms are displayed in the request log and phone number, address and e-mail address information are verified. If the request log indicates that the request is already opened, the open request is annotated to indicate that the requestor’s request is a duplicate. In this case, the original owner of the request, (DOI or tribal employee), is notified electronically. If the request is not a repeat, the receiver assumes ownership of the request unless another request owner needs to be assigned. Ownership of the request is annotated in the tracking system.
1.3 Stops With	Tracking system notification and ownership of 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.

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3. How should Beneficiaries be involved in this process?

Beneficiary Involvement
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.

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		Document the beneficiary’s / 3rd Party’s contact when the BLM officer acts as the “single point” of contact for a beneficiary’s inquiry / request.
MMS	ICAM Financial Management		Document the beneficiary’s / 3rd Party’s contact when the MMS officer acts as the “single point” of contact for a beneficiary’s inquiry / request.
OHA	Regional Office		Document the beneficiary’s / 3rd Party’s contact 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		Document the beneficiary's / 3rd Party's contact 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 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).	
Imminent threat notification	Anyone may notify the Integrated Servicing Office whenever there is an imminent threat to a trust asset.	
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.	

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.*

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6.1 Inputs

Input	Description
Inquiry / request / notification	An inquiry / request / notification is provided.

6.2 Outputs

Output	Description
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.

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.
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

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Control	Reason	Description
Tracking System Standard Operating Procedures	Ensures consistency in documenting inquiries / requests / notifications	Contains standard administrative operating procedures for documenting contact.
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.
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
Tracking System	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.
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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Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)

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.2.	Prepare Information	B.2.1 Update a beneficiary's personal data as requested. 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
Note	The Tracking System Standard Operating Procedures need to be written and communicated.