Title: Conduct Follow-up

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

Process Number
______**B.3.4**__________

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

1.1 Starts With	Determine requestor to be contacted.
1.2 Process Overview	Following up with the requestor after a response has been delivered is intended to develop and enhance the beneficiary / trustee relationship. The process begins with a decision to follow-up on hard copy format and / or Internet responses provided to requestors. It is assumed that there is not a 100% follow-up hence, the identification of requestors to be contacted are based upon a review of key transaction, performance and issue related criteria already documented in the tracking system. To help identify the universe of requestors to contact, the tracking system is queried to identify any requestors who received responses related to complex subject matter or controversial issues. The tracking system may also be queried to identify requestors who received responses during a specific period of time or over a specific length of time. After the requestors are identified for follow-up, they are contacted by the Integrated Servicing Office to ensure that a response was received and to obtain any feedback. If the response was received, the requestor is asked if the response satisfied their original request and whether or not an additional request is needed. If the requestor has an additional request, it is documented and responded to through the BRDM process. If the requestor does not have an additional request, the tracking system is annotated with details on the follow-up and any beneficiary feedback. In the event that the requestor did not receive the response, the reason for non-delivery of the response is determined and documented in the tracking system. Next, the original response is re-submitted to the requestor with the details annotated in the tracking system.
1.3 Stops With	Receipt of beneficiary's feedback.

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

Goal/Objective
Develop and maintain effective communications with beneficiaries to facilitate their involvement in improving trust management, acquisition and disposal, and conveyances of trust assets, consistent with DOI's fiduciary duties.
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
The beneficiary is contacted to ascertain that he / she received a timely response to his / her inquiry / request and whether or not it answered the inquiry / request.

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

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
Management decision	Follow-up to a beneficiary response is based upon a review of key transaction and performance criteria documented in the tracking system.	

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
Tracking data	Management uses the tracking data to determine if a follow-up is needed.
Beneficiary's response	The beneficiary's response is used to determine if additional action is required.

6.2 Outputs

Output	Description
New inquiry / request	A new inquiry / request may be generated if necessary after follow-up discussions with the beneficiary.
Re-submitted response	The response may need to be re-submitted to the beneficiary, if he / she did not receive the original response.

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 of 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 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.

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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
None		

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	Tracking data is used to determine the need for a follow-up with the beneficiary and to annotate the follow-up discussion and its outcome.

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.3.2	Issue Response via Hard Copy	Follow-up to a hard copy response is performed as needed.
B.3.3	Issue Response via Internet	Follow-up to an Internet response is performed as needed.

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
None		

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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	Procedures need to be developed on the parameters for conducting a follow-up. The parameters identify the type of request needing follow-up. For example, fee to trust transaction follow-up require different follow-up than account balance inquiry.