Title: Beneficiary Asset Counseling	**Process Number**
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	______**B.6**__________

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

1.1 Starts With	Discussion with beneficiary or receipt of request from another process or 3rd Party.
1.2 Process Overview	Asset counseling provides the beneficiary with a better understanding of options for the productive utilization of his / her trust assets. The counseling also enables beneficiary involvement in the management of his / her assets. Sub processes include: • B.6.1 – Provide Counsel on Asset Options • B.6.2 – Facilitate Beneficiary Interests in Asset Management • B.6.3 – Account Administration
1.3 Stops With	Ensure beneficiary's interest is included in asset management and use and Completed Account/Payee Administration.

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

Goal/Objective
Collect, disburse and account for funds associated with Indian trust assets quickly and accurately.
Provide beneficiaries with convenient access to trust account services and information.
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.
Provide Indian tribes with technical assistance to develop, implement, and manage Indian trust fund investment plans, in accordance with the Reform Act.
Foster expansion of self-governance compacts and self-determination contracts in a manner consistent with DOI's fiduciary responsibilities.
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.

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Goal/Objective
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?

Beneficiary Involvement

- Discussion with the beneficiary (tribe and individual Indian) is held to provide advice on the potential use of their trust assets.
- Discussions are held with the beneficiary to gather needed information and / or complete the required documents / applications for ownership related transactions.
- Discussions are held with the beneficiary to gather the needed information, including intent, and / or complete the required documents for land and natural resource planning related transactions.
- Discussions are held with the beneficiary or lessee to gather the needed information, including intent, and / or complete the required documents / applications for land and natural resource use and management related transactions. The beneficiary receives the results of land assessments.
- Beneficiary is provided with the appropriate documentation to perform account administration for his / her account.
- Beneficiary may be consulted to verify purpose of the payment, amount of payment, type of payment and payment schedule and identify the appropriate account from which payment is to be made.

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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)		Serve as primary contact for beneficiaries Facilitate the interactions with the beneficiary and government agencies, as necessary, concerning ownership and land and natural resource planning trust transactions. Facilitate the interactions with the beneficiary and lessee concerning land and natural resource use and management trust transactions. Primary contact for performing account administration for a beneficiary's account. Primary contact for performing account receivable administration. Primary contact for performing account payable administration. Approve Social Services Plan.

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Organization	**Office**	**Role**	**Contribution**
OST	Agency (Integrated Servicing Office)		Serve as primary contact for beneficiaries Facilitate the interactions with the beneficiary and government agencies, as necessary, concerning ownership and land and natural resource planning trust transactions. Facilitate the interactions with the beneficiary and lessee concerning land and natural resource use and management trust transactions. Primary contact for performing account administration for a beneficiary's account. Primary contact for performing account receivable administration. Primary contact for performing account payable administration.
BLM	Field Office		Support the integrated servicing office in providing counsel to the beneficiaries on trust asset options. Support the interactions with the beneficiary and government agencies, as necessary, concerning ownership conveyance transactions. Serve as subject matter experts to support land use planning.

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Organization	Office	Role	Contribution
OHA	Regional Office		Support the interactions with the beneficiary and government agencies, as necessary, concerning probate transactions. Decision on appeal concerning land and natural resource planning use alternatives. Approve claims. Provide account payable information for establishing the account payable.
MMS	ICAM Financial Management		Support the integrated servicing office in providing counsel to the beneficiaries on trust asset options. Review Indian Mineral Development Act (IMDA) agreements. Facilitate the interactions with the beneficiary and government agencies, as necessary, concerning ownership and land and natural resource planning trust transactions. Serve as subject matter experts to support land use planning.
OSM	Field Office Regional Office Regional Office		Support the integrated servicing office in providing counsel to the beneficiaries on trust asset options. Support the planning process as it relates to mining alternatives.

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Organization	Office	Role	Contribution
Compacted / Contracted Tribes	Tribal / Consortium Office		Serve as a single point of contact for beneficiaries and depends upon the degree of self-determination or Support the integrated servicing office in providing counsel to the beneficiaries on trust asset options. Facilitate the interactions with the beneficiary and government agencies, as necessary, concerning ownership and land and natural resource planning trust transactions. Primary contact with the beneficiary and lessee concerning land and natural resource use and management trust transactions. Primary contact for performing account administration for a beneficiary's account. Primary contact for performing account receivable administration. Primary contact for performing account payable administration.
Fish and Wildlife Service	Regional Office		Serve as subject matter experts to support land use planning.
National Park Service	National Park		Serve as subject matter experts to support land use planning, concerning adjacent lands.
Bureau of Reclamation	Regional Office		Serve as subject matter experts to support land use planning.
Tribal Courts	Tri bal Office		Request child support payments.

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Organization	Office	Role	Contribution
Tribes	Tribal Government Office		Provide account receivable information for establishing the account receivable. Provide account payable information for establishing the account payable.

4.2 External Organizations.

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

External Organization	Contribution
Indian Health Service	Serve as subject matter experts to support land use planning, concerning public health services and infrastructure.
U. S. Department of Agriculture	Serve as subject matter experts to support land use planning, concerning adjacent lands.
Environment Protection Agency	Assist in enforcing National Environment Policy Act (NEPA)
Federal Highways	Assist with transportation planning by holding meetings with tribes.
State and Local Governments	Serve as subject matter experts to support land use planning, concerning adjacent lands.
Army Corps of Engineers	Serve as subject matter experts to support land use planning, concerning water sheds and dams.
State Historic Preservation Office	Serve as subject matter experts to support land use planning, concerning cultural resources.
Social Security Administration	Provide funds on behalf of the beneficiary.
Federal Courts	Provide funds receivable information that may result in accounts receivable.
External Entities	External entities, such as financial institutions, funeral homes, tribal credit, etc. may make a claim for payments to be made from the beneficiary's estate account.

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

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 contacts integrated servicing office	The beneficiary contacts the integrated servicing office whenever he / she desires advice on the potential use of their trust assets.	
Integrated servicing office contacts beneficiary	The integrated servicing office contacts the beneficiary any time there is an apparent need for providing advice based on a trust transaction and / or circumstance.	
Request for change in ownership	A request for conveyance, such as gift, partition of land and negotiated land sale	
Death of individual Indian beneficiary	Change in ownership due to probate	
Request for land use plan	Plans may be either voluntary on behalf of the beneficiary or involuntary in cases where they are statutorily mandated.	
Contact by either the beneficiary or lessee concerning land use activity	Beneficiary may make a request for some type of land use. Lessee may make a request for available land for lease.	
Environmental Assessment	Beneficiary is informed as to the results of an environmental assessment.	
Beneficiary request	The beneficiary may make a request to perform administrative activities for his/ her account(s). Also, the beneficiary request may result from a counseling session.	
Notification from Ownership	Notification that an account administration activity needs to be performed as a result of an ownership transaction.	
Notification from Land and Natural Resource Use and Management	Notification that an account administration activity needs to be performed as a result of an asset leasing transaction.	
Tribal Court Request	Notification that child support is required from a beneficiary.	
Social Security Request	Notification that a beneficiary receives social security payments.	

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Event	Description	Estimated Frequency
Veterans Administration Request	Notification that a beneficiary receives veteran payments.	
Notification from Tribe	Notification that receivable administration activity needs to be performed as a result of tribe's transaction.	
Notification from External Entity	Notification that receivable administration activity needs to be performed as a result of courts, judgments, awards, settlements, etc. transactions.	
Notification from beneficiary	Notification that payable administration activity needs to be performed as a result of a beneficiary's request.	
Notification from Internal / External Entity	Notification that payable administration activity needs to be performed as a result of financial obligation(s) to a 3rd party from an estate account.	

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
Trust integrated data	Trust integrated data is used to assemble and analyze the beneficiary's current asset holdings.
Action item from outreach	The outreach program may identify the need for individual counseling. The need is documented in the form of an action item.
Application for change in land ownership	Check list for information required for conveyance transactions.
Death Notification	Notice that an individual beneficiary has deceased. The notice may be either verbal or in written form.
Tribal resolution to invoke a land use plan	A tribe passes a resolution to initiate a land use plan.
Request for a land use plan	The request may be either verbal or written.
Beneficiary request	Beneficiary request for lease, permit, right of way, utility easement, etc.
Lessee request	Lessee request for availability of land for leasing

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

Input	Description
Request or notification	The request or notification needs to include beneficiary and account information for beneficiary identity verification and account administration activities.
Receivable administration notification	The notification needs to identify beneficiary and account information and account controls so receivable and beneficiary account(s) may be set up.
Payable administration notification	The notification needs to identify payee, amount to be paid, date payment is due, address, date of final payment, type of payment and account from which payment is to be made.

6.2 Outputs

Output	Description
Prepared options, advice, products and / or updates to personal information.	Options, advice, and / or products are provided to the beneficiary. Updates to personal information are made in the trust integrated data and a confirmation is sent to the beneficiary.
Completed application	The completed application is stored in the trust integrated data and the appropriate office is automatically notified.
Death Notice	Notify the appropriate office that the beneficiary has deceased.
Notification	Provide notification to the beneficiaries.
Assembled information	Assembled information from the beneficiary is provided to the appropriate office.
Land use plan	Deliver and explain approved land use planning document.
Approved agreement	Approved agreement includes contracts, permits, contracts, etc.
Account administration confirmation notice	The account administration confirmation notice is automatically generated by the system and communicated to the beneficiary.
Payable administration confirmation notice	The payable administration confirmation notice is automatically generated by the system and communicated to the 3rd party and beneficiary.

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.

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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 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 162a		Provides Trust Fund Investment Principles and restrictions.
25 USC 2201 (Indian Land Consolidation Act)		Provides guidance for tribes to acquire encumbered allotments.
25 USC 4001		Provides authority for 25 CFR 1200.
Note: Reference the Fiduciary Obligations Plan.		
Note: Cross-reference the Ownership process for additional obligations and controls.		
Note: Cross-reference the Land and Natural Resource Planning process for additional obligations and controls.		

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Obligation	Source	Business Impact
Note: Cross-reference the Land and Natural Resource Use and Management process for additional obligations and controls.		

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
Tribal Resource Management Plan	Ensures the land use is consistent within management units.	Provides guidance on land use.
BIA / OST Interagency Procedures Handbook (Attachment that addresses account structure)	Ensures consistency in performing beneficiary account administration	Contains standard administrative operating procedures for administrating tribal and IIM accounts.

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 trust asset information. • Provides access to the beneficiary's ownership information. • Provides access to the beneficiary's land and natural resource planning information. • Provides access to the beneficiary's land and natural resource use and management information. • Provides access to the beneficiary's personal information and account(s) and serves as a repository for the beneficiary's account(s) and related control(s), such as restrictions and payment schedules. • Provides access to the receivable and beneficiary account(s) and serves as a repository for the receivable and beneficiary account(s) and related control(s), such as restrictions and payment schedules.

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System Name	Support
Tracking System	• Tracking data is annotated with the details of the counseling session. • Tracking data is annotated with the details of the ownership transaction and with the recipients of the ownership documentation. • Tracking data is annotated with the details of the land and natural resource planning transaction and with the recipients of the land use planning documentation. • Tracking data is annotated with the details of the land and natural resource use and management transaction and with the recipients of the land use and management documentation. • Tracking data is annotated when the beneficiary account administration request has been completed. • Tracking data is annotated when the payable administration is complete.

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	Accept Inquiry/Request	B.1.1 Verify beneficiary Identity B.1.2 The inquiry/request is documented prior to providing counsel on asset options or providing beneficiary account administration activities. B.1.3 A 3rd party's right to information must be verified prior to documenting the inquiry request.
B.2	Prepare Information	Predetermined forms or applications may be completed.
FO.2.1	Review Accounts and Investment Options	Participate in the provision of investment options counseling to Tribes.
FO.3	Disbursement	Review daily disbursements to ensure timely delivery of funds to beneficiaries.
O.3.1	Prepare Probate Case	Provide notice to set up account payable on behalf of the deceased.

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Process No.	Name	Condition of Relationship
O.3.3	Close Probate Case	Participate in the provision of counseling to new heirs on estate planning. Provide notification that account administration activity needs to be performed as a result of a probate case.
P.2.1.1	Request Resources	Assist with assembling beneficiary representation on the planning team.
P.2.3.1	Select Land and Natural Resource Use	Review alternative land uses with beneficiary to obtain their support.
P.2.3.2	Prepare Documentation	Review the preliminary draft of the plan with beneficiary to obtain feedback and support.
P.2.4.1	Request Environmental Clearances and DOI Approvals	Review the environmental compliance documents, if necessary.
P.2.4.2	Document Support for the Plan	Review draft plan with beneficiary to obtain feedback and support.
P.4	Evaluate an Existing Land and Natural Resource Plan	Participate in the provision of counseling to tribes on variances and new alternatives to existing plans.
UM.2.1.1	Advertise Land Use Availability	Promote and advertise available lease lands using the developed material.
UM.2.2	Award Tribal Enterprise	Assist with awarding the land use contracts.
UM.2.3	Perform Tribal Allocation	Assist with awarding the land use contracts.
UM.2.4	Conduct Bidding	Assist with awarding the land use contracts.
UM.2.5	Negotiate Land Use Contract	Assist with awarding land use contracts.
UM.2.6	Approve Land Use Contract	Provide notification that account administration activity needs to be performed as a result of a land use contract.

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

Process No.	Name	Condition of Relationship
UM.3.4	Provide Land Use Technical Assistance	Participate in the provision of counseling and technical assistance regarding use of land to beneficiaries.
UM.4.2	Document Owner or Special Use	Participate in the provision of counseling and technical assistance regarding owner or special use to beneficiaries. Make notification concerning the condition of land or a trespass on trust lands.
UM.4.3	Assess Management Unit Use	Provide assessment results to the beneficiary.

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	Communicate Information	Provide response to inquiry / request to the requestor.
FO.1.1a	Create Trust Funds Receivable	Financial Operations uses the beneficiary accounts and related controls to receive funds. Financial Operations uses the receivable account(s) to receive funds.
FO.2.1	Review Accounts and Investment Options	Receive the results of the Tribe's counseling on investment options.
FO.3.1	Create Funds Payable	Financial Operations uses the established account(s) for disbursement of funds.
FO.5	Reporting and Statements	Assist in developing understandable Explanation of Payments (EOP) and account statements.

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Process No.	Name	Condition of Relationship
O.1.1	Receive and Review Application Request (F-T, On-Reservation, Undivided Interest) and Receive and Review Application Request (T-T & T-F)	Receive conveyance information from beneficiary counseling on fee to trust, trust to trust, and trust to fee options. Receive pre-determined conveyance information gathered during discussions with the beneficiary. Coordinate responses with state and local governments.
O.1.1a	Serve 30-Day Notices (F-T, On-Reservation, Undivided Interest)	Receive 30-day notice information for on-reservation fee to trust for undivided interest.
P.2.2.1	Understand Beneficiary's Intent	Receive assistance in collecting information on the beneficiary's intended use of land and natural resources and supporting documentation.
P.2.2.2	Collect Pertinent Data	Receive pertinent planning data collected from discussions with the beneficiary.
P.2.3.1	Select Land and Natural Resources Use	Receive alternative land and natural resources use collected from discussions with the beneficiary.
P.2.3.2	Prepare Documentation	Receive documentation collected from discussions with the beneficiary.
P.2.4.2	Document Support for the Plan	Receive Tribal concurrence for the plan and its supporting NEPA documentation.
UM.1.1	Establish Management Unit Baseline	Provide beneficiary's intent or changes to land use. Provides beneficiary rights information gathered during discussions with the beneficiary.
UM.1.2.3	Evaluate Consent Responses	Provide the consent information gathered from beneficiaries.

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Process No.	**Name**	**Condition of Relationship**
UM.2.1.3	Process Land Use Application	Provide information and / or documentation gathered during discussions with the beneficiary.

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 Trust Officer, Superintendent and DAST needs to be skilled in providing counseling on how the beneficiary may use his / her account.