Title: Provide Counsel on Asset Options — **Process Number ______B.6.1__________**

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

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

1.1 Starts With	Beneficiary contact
1.2 Process Overview	Providing counsel on asset options builds the beneficiary/trustee relationship by proactively counseling beneficiaries on trust asset use and management. Through the use of reliable information, that includes an accurate inventory of trust assets, and analytical tools, beneficiaries are advised on options for financial planning, land and natural resource planning, land and natural resource use, individualized trusts for IIM account holders, and estate planning. Specifically, counseling options may include ILCA related buyback options, renunciation of owner's interest, estate planning, individual trust agreements, (written agreement on managing assets and designating a successor), and the use of idle and available lease lands. The process begins through either a beneficiary making contact, or a proactive contact to the beneficiary. All contacts require that the beneficiary's identity is verified, and the contact is documented in the tracking system. First, beneficiary input is required before asset management options or advice can be developed and proposed. A series of discussions are held with the beneficiary to identify and understand their interest, input and priorities related to financial planning, land and natural resources planning and land and natural resources use and management. All discussion sessions are noted in the tracking system. Once the beneficiary's input is obtained, analytical tools are used with information from the trust integrated data to develop options, advice or solutions based upon: the effectiveness of current asset use, costs, benefits, planning and land use criteria, fiduciary obligations, financial criteria and environmental criteria. The identified options are presented to the beneficiary along with an explanation on how the options work including, cost and resource issues that might have to be addressed during implementation. A record of the options proposed to beneficiaries is recorded in the tracking system. Note: The trust officer and appropriate program officer or specialist perform all counseling actions. Together, they gather beneficiary input, evaluate opportunities or alternatives and propose options to the beneficiary. Under the counseling business process, the trust officer performs the relationship manager and relationship builder role
1.3 Stops With	Prepared information, including options and/or advice.

Title: Provide Counsel on Asset Options | **Process Number ______B.6.1__________**

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

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

Goal/Objective
Provide Indian tribes with technical assistance to develop, implement, and manage Indian trust fund investment plans, in accordance with the Reform Act.
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.
Manage land and natural resource assets effectively and proactively to obtain fair market value for beneficiaries and to incorporate beneficiary requirements.
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.

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.

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
OST	Agency (Integrated Servicing Office)		Serve as primary contact for beneficiaries

Title: Provide Counsel on Asset Options **Process Number**
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership) ______**B.6.1**__________

Organization	**Office**	**Role**	**Contribution**
BLM	Field Office		Support the integrated servicing office in providing counsel to the beneficiaries on trust asset options.
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.
OSM	Field Office Regional Office		Support the integrated servicing office in providing counsel to the beneficiaries on trust asset options.
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.

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

External Organization	**Contribution**
None	

Title: Provide Counsel on Asset Options	**Process Number**
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	______**B.6.1**__________

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.	

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.

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.

Title: Provide Counsel on Asset Options | **Process Number ______B.6.1__________**

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 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.		

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.

Title: Provide Counsel on Asset Options — **Process Number ______B.6.1___________**

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

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.
Tracking System	Tracking data is annotated with the details of the counseling session.

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 B.1.3 A 3rd party's right to beneficiary information must be verified prior to documenting the inquiry/request
FO.2.1	Review Accounts and Investment Options	Participate in the provision of investment options counseling to Tribes.
O.3.3	Close Probate Case	Participate in the provision of counseling to new heirs on estate planning.
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.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.

Title: Provide Counsel on Asset Options	**Process Number**
Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)	______**B.6.1**__________

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.2.1	Review Accounts and Investment Options	Receive the results of the Tribe's counseling on investment options.

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
None	