



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

Title: Facilitate Beneficiary Interests in Asset Management

Process Number

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

B.6.2

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	<p>The Facilitate Beneficiary Interest in Asset Management process creates a partnership in managing trust assets, by providing standard operating procedures that ensure beneficiaries are involved in asset management.</p> <p>Sub processes include:</p> <ul style="list-style-type: none"> • B.6.2.1 – Beneficiary Involvement for Ownership • B.6.2.2 – Beneficiary Involvement for Land & NR Planning • B.6.2.3 – Beneficiary Involvement for Land & NR Use & Mgt
1.3 Stops With	Prepared information

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 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.
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.



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3. How should Beneficiaries be involved in this process?

Beneficiary Involvement
<ul style="list-style-type: none"> • 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.

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)		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.
OST	Agency (Integrated Servicing Office)		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.



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Organization	Office	Role	Contribution
BLM	Field Office		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.
MMS	ICAM		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.
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.
Compacted / Contracted Tribes	Tribal / Consortium Office		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.
OSM	Regional Office		Support the planning process as it relates to mining alternatives.
Fish and Wildlife Service	Regional Office		Serve as subject matter experts to support land use planning.



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Organization	Office	Role	Contribution
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.

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.
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.

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
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	



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Event	Description	Estimated Frequency
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.	

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
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

6.2 Outputs

Output	Description
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.



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Output	Description
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.

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 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 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.		



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Obligation	Source	Business Impact
Note: Cross-reference the Land and Natural Resource Planning process for additional obligations and controls.		
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
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
Trust Integrated Data	<ul style="list-style-type: none"> • 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.
Tracking System	<ul style="list-style-type: none"> • 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.



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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
B.2	Prepare Information	Predetermined forms or applications may be completed.
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.
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 the land use contracts.
UM.4.2	Document Owner or Special Use	Make notification concerning the condition of land or a trespass on trust lands.



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Process No.	Name	Condition of Relationship
UM.4.3	Assess Management Unit <u>Use</u>	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.
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.



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Process No.	Name	Condition of Relationship
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. Provide beneficiary rights information gathered during discussions with beneficiary.
UM.1.2.3	Evaluate Consent Responses	Provide the consent information gathered from beneficiaries.
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
None	