



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

<b>Title: Create Pre-Disbursement File</b> <i>Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)</i>	<b>Process Number</b> <b>FO.3.2</b>
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**1. Process Definition** *Provide an overview of the process and define its starting and ending points*

<b>1.1 Starts With</b>	A funds payable entry and a schedule of disbursements.
<b>1.2 Process Overview</b>	Five days prior to a disbursement cycle, a pre-disbursement report is automatically generated to detect any transactions that will be rejected during the actual disbursement cycle. For example, an appeal from probate may place a hold on monies in an account, so funds are not available to cover the scheduled disbursement.
<b>1.3 Stops With</b>	A pre-disbursement report.

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

<b>Goal/Objective</b>	
	To disburse funds in a timely, accurate, effective and efficient manner.

**3. How should Beneficiaries be involved in this process?**

<b>Beneficiary Involvement</b>	
	None

**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
OST	Trust Services		Generate the Pre-Distribution Exception Report.



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**4.2 Non-DOI Organizations.** *Identify the non-DOI organizations that support the execution or control of 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
5 days prior to a scheduled disbursement is reached	Automatically generate the pre-disbursement report.	Daily

**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
Account balances	Trust and non-trust funds available for disbursement or transfer.
Funds payable entry	Files, including payee information, created by a program office or integrated servicing office required to disburse funds.

**6.2 Outputs**

Output	Description
Pre-Disbursement Exception Report	Transactions that will be rejected unless corrected before the disbursement schedule is run.



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## 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
Regulations for carrying out the duties to manage and administer trust assets	25 CFR 115	Guidelines for management of trust funds for tribes and individual Indians.
Leasing on trust assets relate to bonuses, damages and fees	25 CFR 211.24	Regulation concerning deposit of funds.
Rights of Way: compensation for granting of easements and deposits for survey damages	25 CFR 169.14	Regulation concerning deposit of funds.
Intra-governmental accounting guidance	Treasury regulations	Disbursing authority. Safeguarding and disposal of check stock.

### 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
Generally Accepted Accounting Principles (GAAP)	Ensure that financial records meet industry standards and are auditable.	Accounting industry standards.
DOI Accounting Handbook	Ensure standard department accounting practices.	Detailed desk procedures that include identified service standards and management overview to ensure service standards are met.



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**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
Funds payable system	Technology system that records scheduled and actual disbursements from trust and trust-related accounts to beneficiaries or third parties. A cash management module that allocates projected and actual disbursements to and from beneficiary accounts is also included.
Trust Financial Accounting System (TFAS)	Technology that applies receipts, distributions and disbursements to the appropriate beneficiary and escrow accounts. An escrow tracking module is also included.

**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
FO.3.1	Create Funds Payable	Money is scheduled for disbursement.

**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
FO.3.3	Reconcile Pre-Disbursement Exceptions	The pre-disbursement file contains scheduled disbursements that cannot be covered by available funds.

**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