



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

<b>Title: Document Basis for Decision</b>	<b>Process Number</b>
<i>Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)</i>	<b>UM.1.2.4</b>

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

<b>1.1 Starts With</b>	Receive notification that consent threshold has been met or consent response period has expired.
<b>1.2 Process Overview</b>	The consent report is reviewed and authority exercised where necessary on behalf of ownership interests as per the best interest of the beneficiaries and the preservation of the Trust corpus (e.g. for minors, whereabouts unknown, etc.). Sufficient consent to proceed with processing land use contracts, any other basis for authority to proceed with land use, or lack of authority to proceed is documented; and a record for the determination is produced. All physical responses are imaged or noted in the integrated system and sent to a central repository for storage. They are retained for 7 years after closure of any land use contract made effective under the consent or otherwise specified in the records manual.
<b>1.3 Stops With</b>	A recording the determination, either authorizing or not authorizing moving forward to develop a land use contract on behalf of the beneficiaries for each Management Unit where consent was required.

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

<b>Goal/Objective</b>
GOAL 4: LAND AND NATURAL RESOURCES MANAGEMENT THAT MAXIMIZES RETURN WHILE MEETING BENEFICIARY DESIRES
OBJECTIVE 4.1: LAND AND NATURAL RESOURCE ASSET PLANS AND STEWARDSHIP STRATEGIES Develop land and natural resource asset plans and stewardship strategies.
OBJECTIVE 4.2: PRESERVATION AND PROTECTION OF LAND AND NATURAL RESOURCE ASSETS 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 as-sets.
OBJECTIVE 4.3: LAND AND NATURAL RESOURCE ASSET BUSINESS MANAGEMENT Manage land and natural resource assets effectively and proactively to obtain fair market value for beneficiaries and to incorporate beneficiary requirements.
OBJECTIVE 4.4: APPRAISALS Obtain appraisal information, as needed, on trust and restricted lands for tribal and individual Indian owners, using methods and techniques that meet professional standards.



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**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
BIA	Agency		Prepare documentation of consent, recommendation for exercising authority on behalf of non-respondents or unauthorized respondents, and draft record of decision.  Review records of decision for consent.  Audit accuracy and compliance of the consent process and information used.
BIA	Regional or National Office		Image or record consent responses and forward to records office.

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

External Organization	Contribution
None	



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**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
Positive consent response matches or exceeds threshold	Threshold as established in UM1.2.1 (Consent Requirements)	
Expiration of consent response period	Three months from the time of requesting beneficiary consent	

**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
Consent Response Report	This report indicates which MU's have reached consent thresholds, what MU's do not require consent due to heavily fractionated ownership, and the ownership interests by MU which the line official is authorized to determine appropriate consent action (whereabouts unknown, minors, etc.).

**6.2 Outputs**

Output	Description
Final Consent Tabulation	A final tabulation of all consent responses and ownership-interests serving as basis for record of decision, inclusive of line official exercising authority for non-respondents and unauthorized beneficiaries (e.g. whereabouts unknown, minors, etc.).
Record of Decision	Documentation of decision and of basis of decision for authority to proceed in developing and managing land use contracts.



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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
See attached Schedule 1		

**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
Bureau of Indian Affairs Manual (IAM)	Internal control	BIA policies and procedures

**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
Land Management System	Tabulation of final consent interests, and documentation of record of decision
Imaging System	Supports electronic imaging, storage and retrieval of consent responses across geographically dispersed offices, and reduces paperwork storage at regional and local offices.

**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
UM.1.2.3	Evaluate Consent Responses	The consent response report is complete.



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**UM.1.2.4**

**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.*

<b>Process No.</b>	<b>Name</b>	<b>Condition of Relationship</b>
UM.1.3	Assess Land Use Suitability	When the record of decision authorizes proceeding to develop land use contract(s).

**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)*

<b>Category</b>	<b>Comment</b>
	None