



**United States
Department of the Interior**

**Fiduciary Trust
Model**



December 30, 2004

Table of Contents

Executive Summary	1
Fiduciary Trust Model	3
Beneficiary Relationship Development and Management (BRDM)	5
Financial Operations	6
Ownership – Conveyance	7
Ownership – Survey	8
Ownership – Probate	9
Ownership – Title	10
Land and Natural Resources Planning	11
Land and Natural Resources Use and Management	12
Implementation	13
Appendix	14
Beneficiary Relationship and Development (BRDM)	15
Financial Operations	23
Ownership – Conveyance	27
Ownership – Survey	30
Ownership – Probate	33
Ownership – Title	37
Land Planning, Use and Management	39

FIDUCIARY TRUST MODEL

EXECUTIVE SUMMARY

The Department of the Interior (DOI) has the responsibility to establish and support the fiduciary trust relationship with American Indians and Alaska Natives. The DOI's responsibilities include the improvement and protection of approximately 56 million acres of land and natural resources, manage Indian trust accounts, fulfill treaties and the mandates of Federal law, and improve the quality of life for American Indians and Alaska Natives.

The American Indian Trust Fund Management Reform Act of 1994 directed DOI to accurately account for Indian trust funds and reform the operation of the Indian fiduciary trust. The Office of the Special Trustee for American Indians (OST) was created by the Act to oversee and coordinate reforms within DOI of practices relating to the management and discharge of such responsibilities.

Gale A. Norton, the Secretary of the Department of the Interior has stated that one of DOI's primary strategic goals is to "serve as a dependable trustee and fulfill our special commitment to American Indians, Alaska Natives, and affiliated Island Communities. The DOI 5-year Strategic Plan (FY2003-2008) responds to this goal through its defined mission areas: Resource Protection, Resource Use, Recreation, and Serving Communities.

Three of the four mission areas align with DOI trust services responsibilities and identify the following DOI trust services objectives.

- Resource Protection:** Protect Cultural and Natural Heritage Resources.
- Resource Use:** Manage or Influence Resource Use to Enhance Public Benefit, Promote Responsible Use, and Ensure Optimal Value.
- Serving Communities:** Fulfill Indian Fiduciary Trust Responsibilities; Advance Quality Communities for Tribes and Alaska Natives; and Increase Economic Self-Sufficiency of Insular Areas.

In order to meet these responsibilities, DOI undertook a comprehensive reengineering effort using a collaborative approach between Bureaus with trust responsibility. These Bureaus were the Bureau of Indian Affairs (BIA), Bureau of Land Management (BLM), Minerals Management Services (MMS), Office of Hearings and Appeals (OHA), OST and also included Tribal representation. The reengineering effort included the "As-Is" project to gain a comprehensive understanding of the way major trust processes are performed today. The next phase of the effort was the "To-Be" project to redesign these processes where appropriate.

To help guide the “To-Be” project, DOI developed the Comprehensive Trust Management (CTM) Plan to define an approach for improving performance and accountability in the management of the trust. The CTM provides the overall trust business goals and objectives for DOI to achieve its fiduciary trust responsibilities. In addition to the CTM, recommendations from the documented “As-Is” Business Model and DOI subject matter experts were an important part of the effort.

The result of this collaborative approach to build a highly effective fiduciary trust services organization is the Fiduciary Trust Model (FTM), which is summarized later in this document.

The CTM identifies three business lines:

1. *Beneficiary trust representation.* Representing the beneficiaries in all matters related to the trust, which requires independent representation on behalf of the beneficiaries.
2. *Trust financial management.* Managing the receipt, investment, and disbursement of funds generated by Indian assets, as well as record keeping and reporting on fiduciary trust management activities and accounts.
3. *Stewardship and management of land and natural resources.* Managing the land and natural resource assets of the trust.

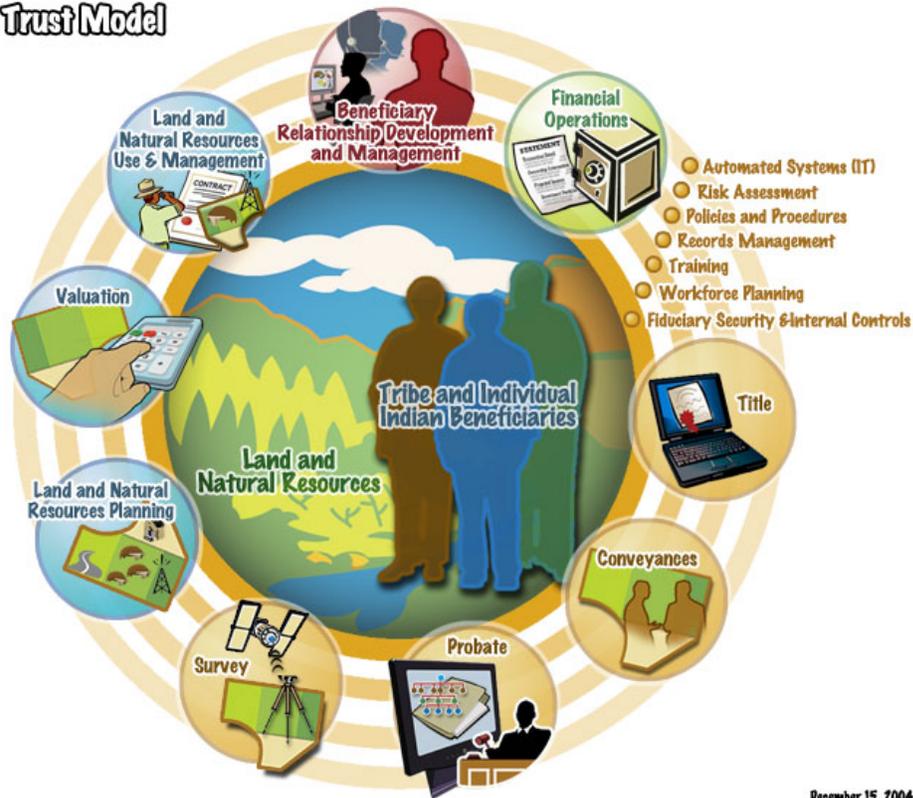
Each business line represents a distinct group of products or services for comprehensive trust management and encompasses related processes, products, and services within its scope. Each business line consists of common business processes focused on a particular activity. Defining comprehensive trust management in terms of business lines is critical for several reasons:

- ◆ Determining the major segments of the business provides the framework for designing the new organizational structure.
- ◆ Managing the expectations of both beneficiaries and staff begins with clearly defining the business of comprehensive trust management.
- ◆ Defining business lines provides a baseline for developing standard business processes and systems, as well as effectively aligning the organization with the business model.

The CTM laid the groundwork for trust reform by providing the strategic direction for the FTM.

FIDUCIARY TRUST MODEL

Fiduciary Trust Model



The FTM is designed to enhance beneficiary services for Tribes and individuals, ownership information, land and natural resources assets, trust funds assets, Indian self-governance and self-determination, and administrative services. When fully implemented, the FTM transforms the current trust business processes into more efficient, consistent, integrated and fiscally responsible business processes that meet the needs and priorities of the beneficiaries and improves the working environment of our employees.

Trust services are transformed by implementing the major objectives identified in the FTM, which include:

- Operating with standardized procedures that when enforced allow the consistent execution of fiduciary responsibilities nationwide
- Utilizing automatic tracking and accountability for trust funds from collection of receipts through disbursements and reporting to beneficiaries
- Providing accountability and protection of trust land and natural resources

- Developing partnerships with beneficiaries by engaging them in the management and use of their trust assets
- Migrating from 50+ fragmented data systems to an integrated nationwide system with automated workflow tools

In order to meet these objectives, the FTM is comprised of five major business processes; Beneficiary Relationship Development and Management (BRDM), Financial Operations, Ownership, Land and Natural Resources Planning, and Land and Natural Resources Use and Management. Ownership comprises four sub-processes: Conveyance, Survey, Probate, and Title.

The following is an overview of the trust business processes, their current operational and strategic objectives, and the FTM implementation strategies to effect the changes / improvements to achieve trust reform and continuous improvement.



Beneficiary Relationship Development and Management (BRDM)

– The BRDM process provides the primary point of contact for beneficiaries and enhances the trustee / beneficiary relationship. This is accomplished through:

- Accurate, timely and consistent trust asset information to beneficiaries.
- Tracking and resolution management for beneficiary inquiries/requests.
- Asset management and estate planning services.

Current Issues

- A. Beneficiaries have to contact multiple program personnel to receive information or track the status of their requests.
- B. Daily operational program responsibilities are not consistently achieved because of the level of support required to respond to daily requests.
- C. Counseling services are reactive and have inconsistent approaches.

FTM Strategies

- ✚ Implement an Integrated Servicing Office approach that provides beneficiaries with a primary point of contact for financial and resource management inquiries/requests.
- ✚ Implement a counseling service function to provide beneficiaries with alternatives for asset management/use options and estate planning based on program staff analysis of asset inventories.

BRDM Outcomes

Implementation of the FTM strategies will enable the following BRDM trust reform outcomes:

- Beneficiaries no longer need to contact multiple program personnel to receive information and services or to find the status of a request.
- The beneficiary interface with Departmental program staff is substantially reduced, thereby allowing program staff to concentrate on performing their primary functions
- Beneficiaries are able to make more informed trust asset management decisions.
- The beneficiary / trustee relationship is strengthened by building asset management partnerships.
- Trust services are improved and accountability exists for the beneficiary.
- The Department has the ability to evaluate the efficiency and effectiveness of the business processes to ensure continuous improvement and identify and manage risk.



Financial Operations – The Financial Operations business process provides for the automatic tracking of trust funds from collection of receipts through disbursement and reporting to beneficiaries.

Current Issues

- A. The environment for revenue processing and disbursements is manual and redundant and does not provide a full accounting of trust funds.
- B. Beneficiary statements are difficult to read and do not contain all the information required to self manage their income.
- C. Segregation of duties between administration of leases and funds collections is not well defined.

FTM Strategies

- ✚ Transition from a manual and redundant environment to a fully automated environment.
- ✚ Implement Funds Receivable and Funds Payable systems using Lockbox operations.
- ✚ Develop and implement a comprehensive beneficiary statement.
- ✚ Clearly define and implement the segregation of duties between lease administration and funds collection.

Financial Operations Outcomes

Implementation of the FTM strategies will enable the following Financial Operations trust reform outcomes:

- Accountability is increased by controlling both trust and trust-related funds through seamless collection and distribution.
- Disbursements to beneficiaries are documented, accurate, and timely.
- The status and performance of assets held in trust are tracked through comprehensive beneficiary statements.

Ownership – There are four sub-processes within Ownership and each will be discussed separately. These four sub-processes are grouped together under Ownership as they all pertain to the real trust asset and identifying the owners of the asset. The four sub-processes are: Conveyances, Survey, Probate, and Title.



Ownership-Conveyances – The conveyance process allows the transfer of land title from owner to owner for all land acquisition and disposal transactions.

Current Issues

- A. Inconsistent processes make it difficult to ensure new policies and procedures are fully implemented.
- B. Conveyance regulations include unnecessary and confusing steps.
- C. Time required for on-reservation fee-trust transactions are unnecessarily prolonged.

FTM Strategies

- ✚ Automate updates of laws, regulations, policies, and procedures to provide immediate notification of changes to requirements.
- ✚ Automate and standardize requirements and formats for acquisitions and disposals.
- ✚ Eliminate the “Request for Comments” from interested parties for on-reservation fee-trust transactions.

Ownership-Conveyance Outcomes

Implementation of the FTM strategies will enable the following Conveyance trust reform outcomes:

- Accountability is increased by using standardized conveyance applications and formats.
- Automated systems are easily updated with new policies and procedures.
- A more effective and accountable decision making process is provided through the use of a standard denial/approval format.
- An expedited process for on-reservation transactions improves beneficiary satisfaction and reduces fractionation by consolidating interests.



Ownership-Survey – The Survey process ensures that the cadastral boundaries and related parcel information are correct and recorded in the system of record.

Current Issues

- A. Multiple, disparate land status systems are costly to maintain and contain inconsistent data.
- B. The Public Land Survey System (PLSS) on Indian lands is not maintained at the same level as that of public lands.
- C. Survey assistance is not always available to determine the correct service to quickly resolve the beneficiary's request or complete surveys in a timely fashion.

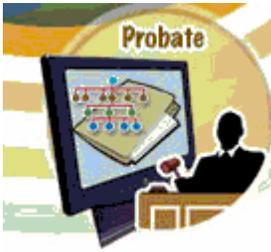
FTM Strategies

- ✚ Implement a standard land status record system that includes Indian lands.
- ✚ Create a Certified Federal Surveyor program to certify private land surveyors as well as Tribal surveyors to perform Cadastral Surveys.
- ✚ Place a BLM Indian Land Surveyor at each BIA region to concentrate on Indian trust survey issues.

Ownership-Survey Outcomes

Implementation of the FTM strategies will enable the following Survey trust reform outcomes:

- Inaccurate and / or multiple land descriptions are eliminated by the national land status record system, the system of record for legal land descriptions.
- Critical infrastructure needed for accurate legal land descriptions is established and maintained which allows for more timely land transactions.
- Survey service delivery is improved by providing on-site assistance at BIA Regions by efficiently using cadastral survey resources.
- The survey backlog and the time required to complete surveys of trust lands are reduced by providing a larger pool of surveyors to complete the work.



Ownership-Probate – The Probate process ensures the correct distribution of trust assets upon a beneficiary's death.

Current Issues

- A. Probate cases are not consistently prepared.
- B. Probate personnel must be familiar with 30+ State probate codes.
- C. Adjudication of probate cases is performed by two different organizations each using different policies and procedures.
- D. Research capabilities to find potential heirs is limited.

FTM Strategies

- ✚ Standardize the probate process by using automated tools that guide the preparer through the proper process.
- ✚ Implement the use of one probate code as required by the American Indian Probate Reform Act of 2004.
- ✚ Create the Office of Trust Adjudication, within OHA, for all Indian probate cases and expand the use of expedited probates.
- ✚ Provide probate staff access to all available data sources and services to build a complete probate file.
- ✚ Implement the use of individual trust instruments.

Ownership-Probate Outcomes

Implementation of the FTM strategies will enable the following Probate trust reform outcomes:

- More probates may meet the criteria for an expedited type of probate through the use of the automated probate tool.
- Expedited probates eliminate the need for formal hearings reducing time and cost.
- Integrating all deciding officials in one office streamlines the adjudication process and better manages workload.
- One national probate code and one set of regulations governing adjudication ensures more consistent and timely decisions.
- Issues are resolved during probate file preparation due to ready access to available information.
- Individual trust instruments are developed that allow the current beneficiary to designate who will receive trust assets upon their death, substantially reducing probate.



Ownership-Title – The Title process ensures that land title and associated encumbrances are recorded accurately and timely in the system of record.

Current Issues

- A. The time needed for land transactions and probates is significantly impacted by the backlog of unrecorded documents and title data.
- B. Multiple title systems exist with inconsistent information.

FTM Strategies

- ✚ Implement integrated, nationwide title data, based on cadastral data that is readily accessible by authorized personnel.
- ✚ Standardize the recordation of title affecting documents.
- ✚ Encode title affecting data at field sites by program staff so that data is entered once, upon receipt.

Ownership-Title Outcomes

Implementation of the FTM strategies will enable the following Title trust reform outcomes:

- A single record system, based on cadastral data, provides current and accurate ownership information and is accessible to efficiently complete transactions.
- Title data is automatically downloaded from the title system into trust business documents and systems.
- Title practices and recordation procedures are standardized and use electronic documents and authorizations.



Land and Natural Resources Planning – The Planning process develops wide-area plans for reservations and ensures that trust land is appraised appropriately.

Current Issues

- A. Backlogs exist for providing appraisals / valuations of trust lands.
- B. Responsibility for mineral appraisals (non-leasing) is not well defined.
- C. Limited planning is conducted based on resource use / program and on small tracts of land without providing a comprehensive view of the total assets.

FTM Strategies

- ✚ Implement an automated valuation system and use Automated Valuation Models (AVM) to expedite the valuation process.
- ✚ Clearly identify the consolidated DOI/National Business Center Office of Appraisal Services as the responsible organization for mineral appraisals not associated with leasing activities.
- ✚ Provide beneficiaries with assistance in developing wide-area plans that include all resources, National Environmental Policy Act (NEPA) requirements, and valuations.
- ✚ Develop wide-area plans in the absence of a beneficiary provided plan.

Land and Natural Resources Planning Outcomes

Implementation of the FTM strategies will enable the following Land and Natural Resources Planning trust reform outcomes:

- Uniform Standards for Professional Appraisal Practices (USPAP) compliant AVM's are used and result in reduced cycle time.
- Beneficiary involvement in planning reduces potential conflicts in resource use.
- The wide area plan sets the direction for economic development and individual business projects.
- The use of USPAP compliant AVM's enhances the completion of conveyance transactions, probates, estate planning, land consolidation efforts, leasing, and other transactions.
- NEPA requirements are completed on a wide-area basis and result in less time needed for development projects.



Land and Natural Resources Use and Management –

The Land and Natural Resources Use and Management process ensures that beneficiaries receive fair value for the use of their land and that the use is consistent with their needs.

Current Issues

- A. Different practices exist for specific land use lease types, i.e. agricultural, rights-of-way, oil and gas, requiring staff to be knowledgeable about inconsistent procedures and regulations.
- B. Lease compliance monitoring is limited.
- C. Consent requirements to lease require excessive mailings to all co-owners, many of whom do not have current addresses on file.
- D. Land use is administered on a resource by resource basis which may not maximize the value to the beneficiary.
- E. Beneficiary involvement in the use and management of their trust assets is limited.

FTM Strategies

- ✚ Standardize and automate land use lease terms, conditions, and penalties.
- ✚ Streamline and standardize land use consent requirements while maintaining beneficiary involvement.
- ✚ Develop and implement standards for monitoring trust lands.
- ✚ Create management units, tracts of land bundled into larger units, to enhance the administration of land use.
- ✚ Provide the opportunity for beneficiaries to participate in owner-managed interests.

Land and Natural Resources Use and Management Outcomes

Implementation of the FTM strategies will enable the following Land and Natural Resources Use and Management trust reform outcomes:

- A general constructive notice of intent to lease replaces the excessive amount of annual notices requesting consent to lease highly fractionated allotments.
- Automation reduces lease financial management workload on local program staff.
- Lease processing, compliance and reporting are improved and expedited through the use of standardized lease contracts and financial terms.
- Land use policies and procedures and records management are improved.
- The administration of land use is improved through the creation of management units.
- Opportunities for beneficiary involvement and responsibility in the use and management of their trust assets are increased.

IMPLEMENTATION

A Departmental team, which includes Tribal representation, is deploying the FTM in stages and will require several years to complete. The implementation strategy is based on the DOI mission areas, business goals and the CTM business lines, as well as the impact of change to the daily operations.

To fully achieve the FTM improvements, essential cross-process functions are being defined and integrated. These cross-process functions are; Automated Systems, Risk Assessment, Policies and Procedures, Records Management, Training, Workforce Planning, and Fiduciary Security and Internal Controls. The work in these areas includes:

1. Automated systems and information technology is heavily leveraged to transition from a labor intensive, hard copy environment to an electronic environment having integrated data, workflow tools and document imaging.
2. Risk assessment ensures that the risk is manageable and within the toleration allowed for fiduciary responsibility.
3. Regulations, policies, and procedures require revision to support the business process standardization required to successfully achieve the FTM.
4. Records management includes electronic records to be incorporated into the DOI records retention and archival requirements.
5. Training for both DOI staff and beneficiaries on automated systems and new business operating procedures is imperative for the successful implementation of the FTM.
6. Workforce planning is required to ensure adequate staffing of positions with the appropriate skill levels to carry out functions required by the FTM.
7. Fiduciary Security and Internal Controls are required to ensure a reasonable level of security for fiduciary responsibilities and to achieve an appropriate audit capability.

To realize the improvements and benefits of the FTM requires the cooperation and partnership of all DOI organizations with trust responsibilities along with Tribal leadership to successfully implement the model. The FTM is a dynamic model and continuous improvement is an on-going effort.

The following Appendix is a more detailed look at the FTM improvements and benefits summarized above.

APPENDIX

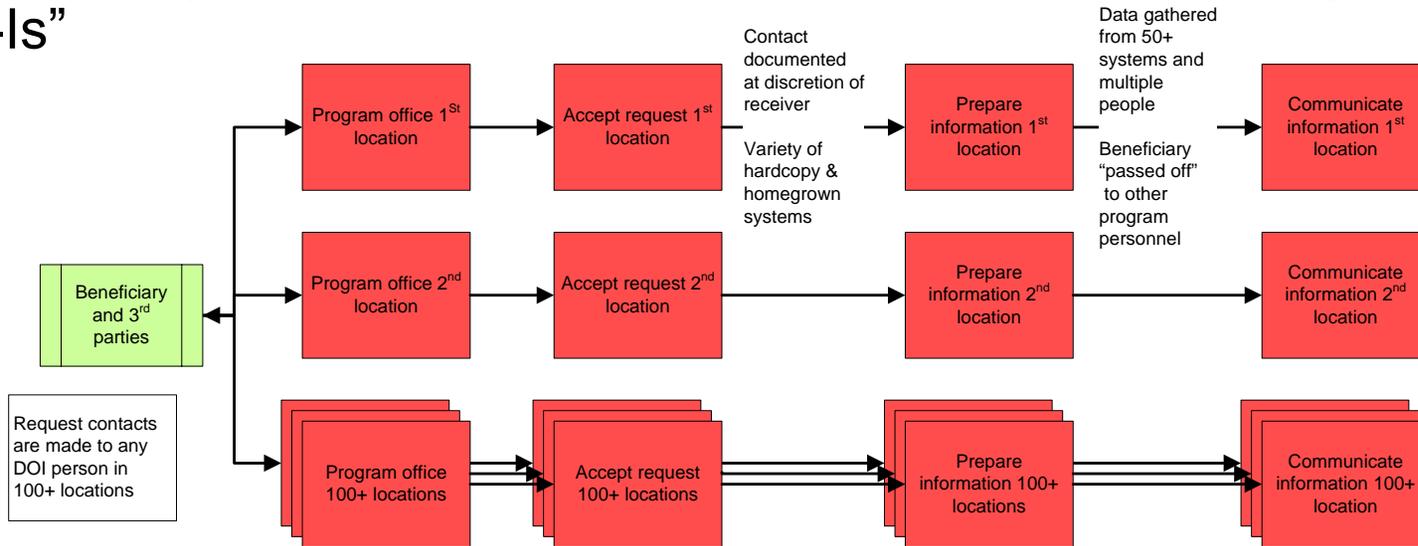
The following diagrams identify the high-level process flows of each of the business processes of the FTM. The tables following each process further breakdown the improvements and benefits as previously summarized. The process flows show both the “As-Is” processes as identified in the initial stage of the reengineering effort as well as the redesigned FTM processes to indicate how the processes are changing.

For illustration purposes, Land and Natural Resources Planning and Land and Natural Resources Use and Management have been combined on the same diagram to show the interrelationship.

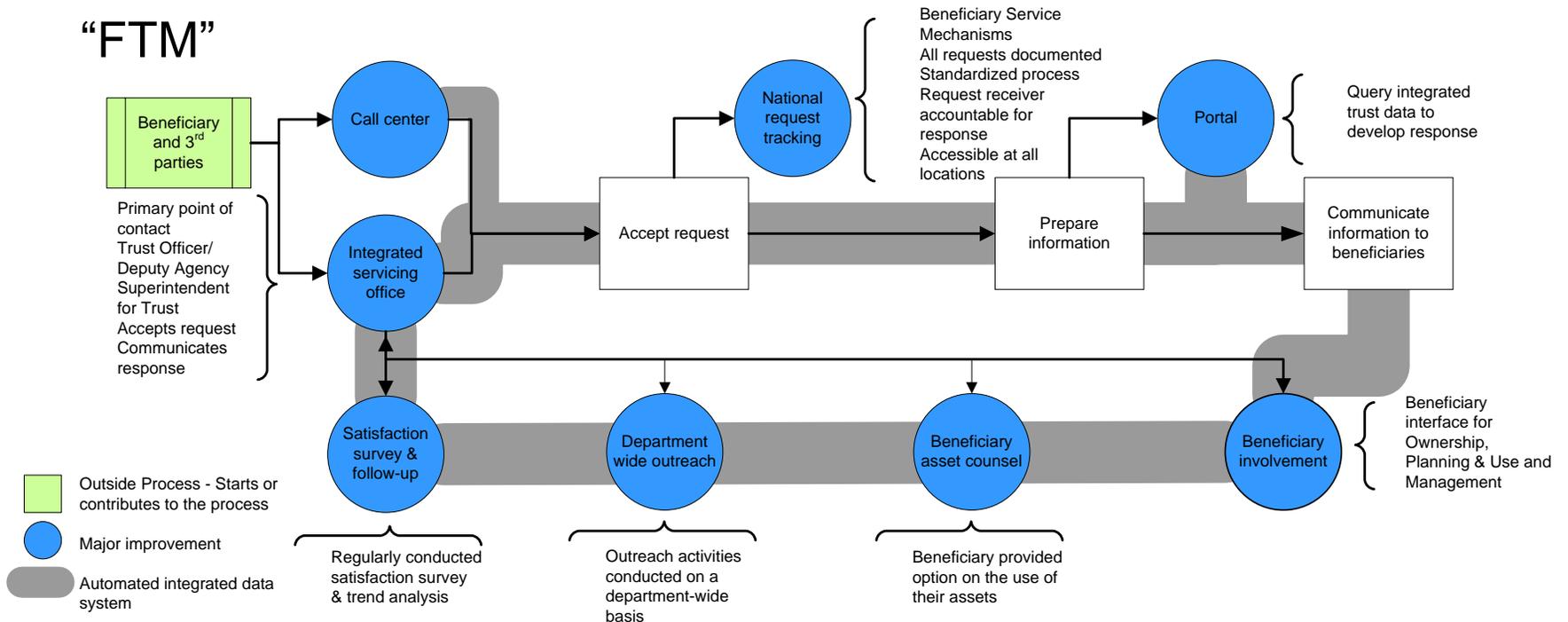
Some identified changes in business processes may be dependent on regulatory changes and IT system developments which are not in place at this time.

Beneficiary Relationship Development & Management

“As-Is”



“FTM”



<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Beneficiary Relationship Development and Management</p>	<p align="center">CTM Business Lines</p>
<p>CTM 1.4: Point of Contact for all Trust Management Asset Services</p>	<p>#1: Beneficiaries have a primary point of contact.</p> <p>Description: The Trust Officer is the primary point of contact and establishes the collaborative working relationship necessary to ensure that resources are available for responding to beneficiary requests and inquiries. The primary point of contact communicates the requested information and / or services to the beneficiary.</p> <p>Benefit: Beneficiaries have a primary point of contact for information and / or services eliminating the need to contact multiple personnel to receive request information / services or to find out the status of a request. The primary point of contact provides all the “behind the scenes” functions required to locate any requested information and / or services so that the beneficiary is not transferred or referred from office to office.</p> <p>With the Trust Officer and their staff providing the beneficiary contact, the beneficiary interface previously performed by program specialists is substantially reduced, thereby allowing the program specialist to concentrate on program specific functions.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resource
<p>CTM 1.2: Beneficiary Services CTM 1.3: Beneficiary Communications CTM 1.5: Technical Assistance CTM 6 A.3 Business Practices</p>	<p>#2: Standard beneficiary service operating procedures for receiving and responding to requests from a beneficiary.</p> <p>Description: Standard operating procedures are implemented to accept requests, authenticate beneficiary identity, verify right to trust data, document requests, and respond to requests. These procedures are used by anyone accepting contact with a beneficiary, whether they are part of the call center, integrated servicing office, or program office.</p> <p>Benefit: Any integrated servicing office is able to receive and document beneficiary requests, prevent beneficiary referral, provide timely and accurate responses and facilitate the delivery of beneficiary-centric services from anywhere in the United States. The integrated servicing office may also retrieve the status of a beneficiary’s inquiry / request submitted from any other location.</p> <p>The consistent use of the standard operating procedures ensures that inquiries / requests are</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Beneficiary Relationship Development and Management</p>	<p align="center">CTM Business Lines</p>
	<p>documented and that beneficiaries receive accurate and current status of their inquiries / requests.</p>	
<p>CTM 1.2 Beneficiary Services CTM 1.4 Point of Contact for all Trust Management Asset Services CTM 6 A.8 Performance Measures</p>	<p>#3: A nation-wide tracking system to document, status, query, and analyze inquiries / requests.</p> <p>Description: Trust related inquiries / requests for information, technical assistance and services are documented and tracked. Included are inquiries / requests from beneficiaries, 3rd parties and Congress. The receiver of the initial inquiry / request becomes the owner and is responsible for documenting it in the tracking system and keeping the status up-to-date. The owner is also responsible for providing the response to the requestor and closing out the inquiry / request in the tracking system. Service delivery standards are established, integrated into the tracking system and used to monitor the delivery of trust services.</p> <p>Benefit: The tracking system provides more accountability to the beneficiaries by: documenting and giving status of requests, making more informed and consistent responses to beneficiary inquiries, implementing service delivery standards and evaluating the efficiency of the trust business processes. Any primary point of contact or inquiry / request owner can query the tracking system to determine the status and disposition of inquiries / requests.</p> <p>Analysis of the tracking data provides an opportunity to identify inefficiencies in the trust business processes, as well as topics to be included in outreach activities.</p>	<p>1. Beneficiary trust representation</p>
<p>CTM 1.1 Beneficiary Statements CTM 1.2 Beneficiary Services CTM 1.4 Point of Contact for all Trust Management Asset Services CTM 6 B.1 Information Technology</p>	<p>#4: Query of the trust integrated data satisfies a majority of the beneficiaries' inquiries without involvement of program personnel.</p> <p>Description: A majority of the beneficiary inquiries are answered by querying the trust integrated data. To efficiently respond to beneficiary inquiries, the integrated data, user interfaces, workflow tools and imaging abilities are in place that allows access and the movement of information and documents between business processes.</p> <p>Benefit: Beneficiaries receive an accurate and more consistent response in less time resulting in</p>	<p>1. Beneficiary trust representation</p>

Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Beneficiary Relationship Development and Management	CTM Business Lines
	<p>improved beneficiary confidence in the trustee's ability to perform its fiduciary responsibilities.</p> <p>The program specialists are able to spend more of their time working on program specific responsibilities.</p>	
<p>CTM 1.2 Beneficiary Services CTM 1.3 Beneficiary Communications</p>	<p>#5: Requestors receive responses via their preferred response medium.</p> <p>Description: When initial beneficiary contact is documented, the beneficiary is asked how they would like to receive a response (i.e., verbal, written letter or e-mail).</p> <p>Benefit: Providing responses to beneficiaries using their preferred method improves beneficiary satisfaction and the efficiency of response delivery.</p>	<p>1. Beneficiary trust representation</p>
<p>CTM 1.3 Beneficiary Communications CTM 6 A.3 Business Practices</p>	<p>#6: Satisfaction surveys and follow-up results are used.</p> <p>Description: This process includes: 1) following up with a beneficiary after a response to an inquiry or request has been delivered and 2) conducting a customer satisfaction survey to evaluate the efficiency of services.</p> <p>Benefit: Conducting a formal follow-up or satisfaction survey improves accountability, provides a measure of customer satisfaction, improves the beneficiary/trustee relationship and furnishes information which can be used for improving business processes or developing outreach. Communication, feedback and accountability to beneficiaries are improved through the simple act of following up on requests that were delivered to them.</p>	<p>1. Beneficiary trust representation</p>
<p>CTM 1.3 Beneficiary Communications CTM 1.5 Technical Assistance CTM 3.2 Probate and Estate Administration</p>	<p>#7: Beneficiary Department-wide outreach activities involving personnel from across the Department, as appropriate, provides face-to-face beneficiary services.</p> <p>Description: Enhance and extend the existing outreach programs to include participants from BIA, MMS, OST, OHA, BLM as well as the beneficiaries. Beneficiary outreach is a public meeting with beneficiaries on a relevant topic such as oil and gas, heirship, leasing agreements, estate planning and land use planning. Outreach is a one-stop customer service experience with</p>	<p>1. Beneficiary trust representation 2. Trust financial management 3. Stewardship &</p>

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Beneficiary Relationship Development and Management</p>	<p align="center">CTM Business Lines</p>
<p>CTM 4.1 Land and Natural Resource Asset Plans and Stewardship Strategies</p> <p>CTM 4.3 Land and Natural Resource Asset Business Management</p> <p>CTM 5.1 Fiduciary Fund Asset Management</p>	<p>Department representatives available for face-to-face discussions with the beneficiary. All outreach events are lead and coordinated by the integrated servicing office and include access to the integrated data so that immediate responses can be provided to beneficiary requests.</p> <p>Benefit: Outreach is a valuable opportunity to provide beneficiaries with information, improve services, and build beneficiary satisfaction and confidence. Direct contact or interaction with beneficiaries is the biggest benefit of outreach as it brings the trust business process directly to the beneficiary and allows the beneficiary to associate a face with the trust service being provided.</p> <p>Outreach also provides an excellent opportunity to gather information from beneficiaries required to complete land management transactions and/or identify beneficiaries whose whereabouts are unknown.</p>	<p>management of land & natural resource</p>
<p>CTM 1.2 Beneficiary Services</p> <p>CTM 1.3 Beneficiary Communications</p> <p>CTM 1.4 Point of Contact for all Trust Management Asset Services</p> <p>CTM 1.5 Technical Assistance</p> <p>CTM 3.1 Surveys</p> <p>CTM 3.2 Probate and Estate Administration</p> <p>CTM 3.3 Title, Realty and Administration Information</p> <p>CTM 4.1 Land and Natural Resource Asset Plans and Stewardship</p>	<p>#8: Beneficiary counseling on trust asset use and management builds the beneficiary / trustee relationship.</p> <p>Description: Through either proactive or reactive contact, a beneficiary's interests, concerns and needs, related to land and natural resources planning and land and natural resources use and management, are identified, understood and recorded. An in-depth analysis of the integrated data is conducted to identify options that might be available to the beneficiary for use, management or protection of their assets. Once the options are identified, they are reviewed and explained to the beneficiary.</p> <p>Benefit: The greatest benefit of counseling the beneficiaries on trust asset use and management options is that the beneficiary is in a position to make a more informed decision regarding their assets.</p> <p>The counseling process allows the integrated servicing office to fulfill a trustee role which focuses on a beneficiary's needs and solves their problems. As a result of the trustee working together with the beneficiary, partnerships are built in the management and use of trust assets.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resource

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Beneficiary Relationship Development and Management</p>	<p align="center">CTM Business Lines</p>
<p>Strategies</p> <p>CTM 4.2 Preservation and Protection of Land and natural Resource Assets</p> <p>CTM 4.3 Land and Natural Resource Asset Business Management</p> <p>CTM 4.4 Appraisals</p> <p>CTM 4.5 Fractionation Strategy</p> <p>CTM 5.1 Fiduciary Fund Asset Management</p>		
<p>CTM 1.2 Beneficiary Services</p> <p>CTM 1.3 Beneficiary Communications</p> <p>CTM 1.4 Point of Contact for all Trust Management Asset Services</p> <p>CTM 1.5 Technical Assistance</p> <p>CTM 3.1 Surveys</p> <p>CTM 3.2 Probate and Estate Administration</p> <p>CTM 3.3 Title, Realty and Administration Information</p> <p>CTM 4.1 Land and Natural Resource</p>	<p>#9: Beneficiaries are involved in the management of their trust assets.</p> <p>Description: A beneficiary is involved in the management of their trust assets through the Ownership, Land and Natural Resources Planning and Land and Natural Resources Use and Management trust business processes. The integrated servicing office facilitates the interactions between the beneficiary and the trust business processes by collecting, explaining and disseminating the information required to complete the following types of asset management transactions: land conveyances, implementation of land use plans and lease agreements.</p> <p>Benefit: Facilitating beneficiary involvement in management of their assets creates a partnership by providing a standard operating procedure that ensures beneficiaries are involved in asset management.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resource</p>

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Beneficiary Relationship Development and Management</p>	<p align="center">CTM Business Lines</p>
<p>Asset Plans and Stewardship Strategies</p> <p>CTM 4.2 Preservation and Protection of Land and natural Resource Assets</p> <p>CTM 4.3 Land and Natural Resource Asset Business Management</p> <p>CTM 4.4 Appraisals</p>		
<p>CTM 1.1 Beneficiary Statements</p> <p>CTM 1.2 Beneficiary Services</p> <p>CTM 1.3 Beneficiary Communications</p> <p>CTM 1.4 Point of Contact</p> <p>CTM 1.5 Technical Assistance</p> <p>CTM 5.2 Collection, Disbursement and Accounting of Funds</p> <p>CTM 6 A.1 Accounting</p> <p>CTM 6 A.3 Business Practices</p> <p>CTM 6 B.1 Information Technology</p>	<p>#10: Standardized account administration processes improve financial accountability.</p> <p>Description: The BRDM business process performs the interactive “front office” functions for the Financial Operations business process including Account Administration, Receivable Administration and Payable Administration.</p> <p>Account Administration functions include responding to account administration requests from beneficiaries, opening, closing, updating and restricting accounts. In addition, the integrated servicing office reviews disbursements and obtains beneficiary input on self explanatory Explanations of Payment. Whenever an account is opened or closed for a beneficiary, they are counseled on the options that are available to them.</p> <p>The Receivable Administration function includes establishing a funds receivable for a Tribe for funds from court judgments, settlements and awards. In addition, it includes ensuring that beneficiary accounts for receipt of funds are established using the distribution plan provided by the Tribe.</p> <p>The Payable Administration function includes establishing payables from a beneficiary account to a 3rd party or another beneficiary. Notification to initiate such a transaction may come from the beneficiary, external entity or the Ownership business process. After reviewing the terms and amount, the payable and schedule are established.</p>	<p>1. Beneficiary trust representation</p> <p>2. Trust financial management</p>

Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Beneficiary Relationship Development and Management	CTM Business Lines
	<p>Benefit: Standardized account administration processes are designed to make account maintenance less confusing for the beneficiary and less labor intensive for department staff.</p> <p>Account maintenance is performed in the integrated servicing office making it a local rather than a centralized function. Frustration to the beneficiary and Department staff is reduced because local personnel are familiar with beneficiaries in the communities they serve.</p> <p>The standardized processes do not require beneficiaries to re-submit documentation several times.</p>	
<p>CTM 1.1 Beneficiary Statements</p> <p>CTM 1.3 Beneficiary Communications</p> <p>CTM 5.1 Fiduciary Fund Asset Management</p>	<p>#11: Designing self-explanatory Explanation of Payment, comprehensive beneficiary statements and other trust related documents.</p> <p>Description: Collaborate with the Financial Operations business process ensuring beneficiary input is included in the design of self-explanatory comprehensive beneficiary statements. Descriptive explanations, using terminology that the beneficiaries understand is included with any trust related documents.</p> <p>Benefit: Eliminates the confusion that beneficiaries have with interpreting and understanding their Explanations of Payment, comprehensive beneficiary statements, oil and gas statements and other trust related documents.</p>	<p>1. Beneficiary trust representation</p> <p>2. Trust financial management</p>

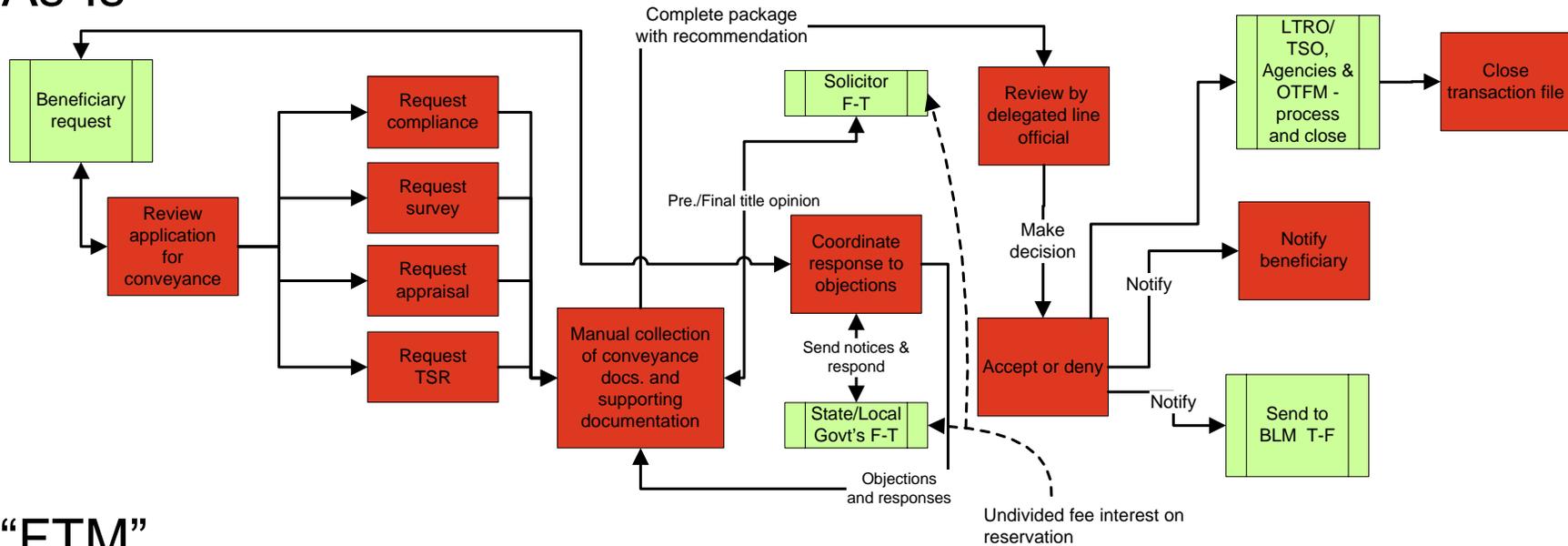
<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Financial Operations</p>	<p align="center">CTM Business Lines</p>
<p>CTM 3.6.1: Fiduciary Obligations CTM 6A.1 Accounting</p>	<p>#12: Financial operations are fully automated.</p> <p>Description: One of the primary requirements set by the 1994 Trust Reform Act is to provide adequate systems that can account for trust assets and report fund balances in order to better manage the fiduciary trust. The user-friendly financial accounting system interfaces with the leasing system, probate system and title system to provide detailed information to management, beneficiaries and other parties, thereby supporting effective and efficient financial trust management. Along with the workflow and document imaging systems, it provides electronic formats and authorization capability. Penalties are system calculated and generated. Delinquency reports, late notices, 10-day show cause notices and subsequent cancellation notices are also generated automatically.</p> <p>Benefit: With a fully automated accounting system, the primary staff responsibilities become analysis and reconciliation of exceptions rather than data entry. Some of the more tedious, time intensive, paper-based work procedures are reduced or eliminated. Additionally, the system generates financial reports and comprehensive beneficiary statements more efficiently and reliably. As a result, better quality beneficiary services are provided along with providing the land use management staff useful tools to monitor and manage land lease contracts.</p>	<p>2. Trust financial management</p>
<p>CTM 5.2: Collection, Disbursement, and accounting of funds associated with Indian trust assets quickly and accurately</p>	<p>#13: A lockbox operation is established.</p> <p>Description: A financial institution manages the lockbox operation. Payors submit monies due and remittance coupons to a designated lockbox. When funds are received in the lockbox, they are immediately deposited in a Treasury account. The financial institution generates a cash receipt file, matches funds with remittance advice and batches them. This information interfaces with the integrated trust data and the remittance coupon is forwarded to the Trust Services office for further distribution processing.</p> <p>Benefit: A lockbox operation streamlines collections from receipt of funds through the disbursement of funds, thereby reducing the processing cycle time. This not only mitigates the risk of funds handled in the field, but more importantly, captures the funds that come into the trust</p>	<p>2. Trust financial management</p>

Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Financial Operations	CTM Business Lines
	<p>process. The process also ensures that funds are deposited to meet the 24-hour deposit requirement resulting in increased interest earnings. Additionally, disbursements are made on time, upon receipt of funds, based on certified ownership.</p>	
<p>CTM 5.2: Collection, disbursement, and accounting for funds CTM 6A.1 Accounting</p>	<p>#14: Funds receivable and payable systems are implemented.</p> <p>Description: The funds receivable and payable systems track the funds that are generated from trust assets from the point of commitment into the funds receivable and payable systems. The systems contain perpetual financial data, such as payors' information, invoicing information, payment information, aging schedule, and associated penalties, when appropriate.</p> <p>Benefit: The funds receivable and payable systems track commitments of funds from trust assets. As a result, the timely receipt and distribution of trust income is more effectively monitored. The financial status at the land use lease level is available for improving management of contracted land. The comparison between the anticipated and actual collections and payments is also available at any given time. Cash projections can be retrieved from these systems to provide the anticipated income and disbursements for a beneficiary account. This financial information is essential for investment decisions and the production of comprehensive beneficiary statements.</p>	<p>2. Trust financial management</p>
<p>CTM 3.6.1: Provide adequate controls over receipts and disbursements</p>	<p>#15: The segregation of financial duties is improved.</p> <p>Description: Trust Services serves as the back office to support and provide information and data to front offices, such as probate, program, and integrated servicing offices. Based on the data provided by the front offices via the funds receivable and payable systems, Trust Services runs the billing, collection, distribution and disbursement processes. Trust Services and the front offices work together to complete account reconciliations and resolve problems. There is a clear line of responsibility between Trust Services and the front offices. For example, program staff negotiates land use leases, performs land use management activities and maintains the data in the leasing system. Trust Services staff performs accounting functions and maintains the data in the financial systems.</p>	<p>2. Trust financial management</p>

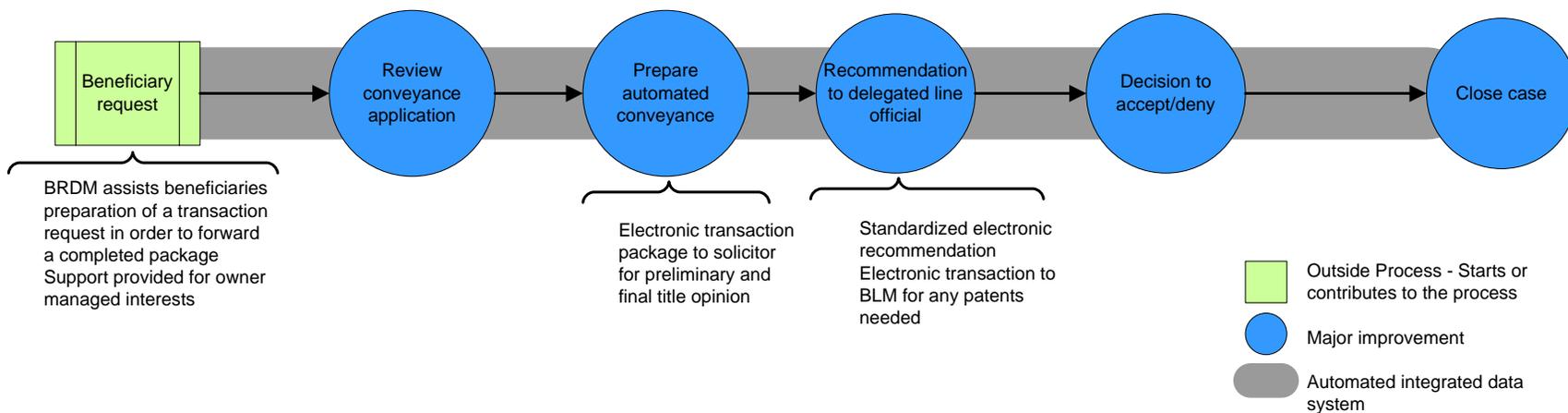
Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Financial Operations	CTM Business Lines
	<p>Benefit: There is clear segregation of duties between the program and finance staffs. This ensures that accounting information is protected, accurate and reliable. This also clarifies performance measurement and simplifies oversight, control and accountability. Moreover, employees have more clearly defined trust roles and responsibilities to manage their duties. As a result, employee frustration with their work environment is reduced.</p>	
<p>CTM 3.6.1: Fiduciary Obligations</p>	<p>#16: Comprehensive beneficiary statements are provided to beneficiaries.</p> <p>Description: The periodic comprehensive beneficiary statement identifies the source, type, and status of trust funds. It displays a beginning balance, gains and losses, receipts and disbursements, and an ending balance. Ownership interests are also included in the statement. Tract and asset information is provided even though there may not have been any financial activity for the period covered by the statement. The comprehensive beneficiary statement uses simple and understandable language so that the beneficiary can understand his or her account.</p> <p>Benefit: A comprehensive beneficiary statement enables beneficiaries and other interested parties to understand the administration of trust funds. It provides a complete picture of trust assets and income derived from those assets. It allows the beneficiaries to track the performance of assets held in trust. This simple but complete beneficiary statement will help to improve beneficiary satisfaction with the trust services provided.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management

Ownership - Conveyances

“As-Is”



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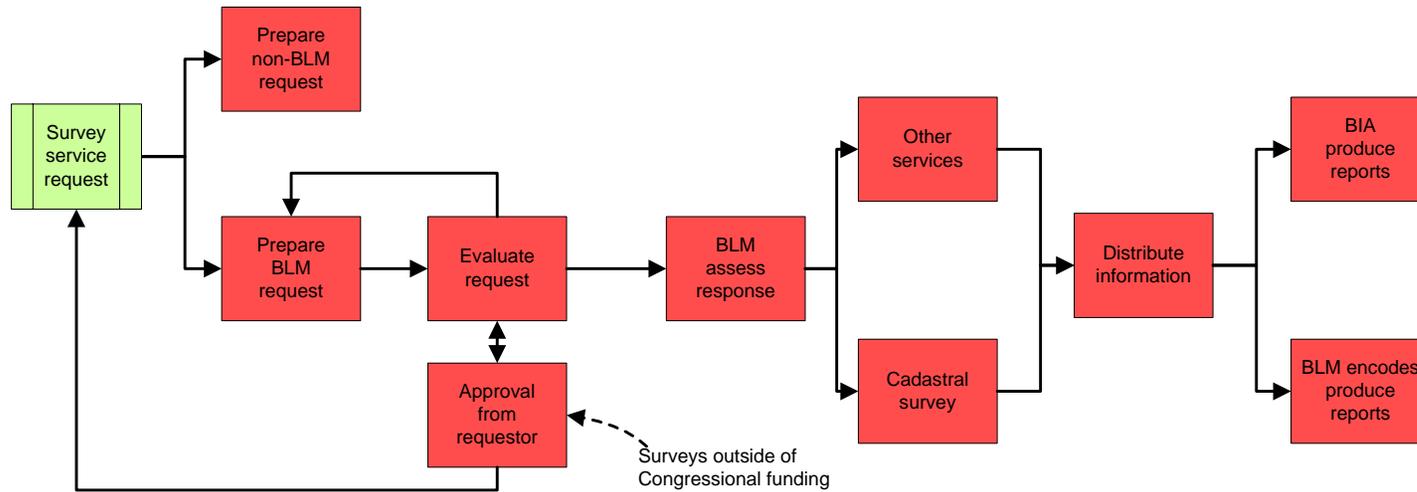


Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Ownership - Conveyances	CTM Business Lines
<p>CTM 3.3: Title, realty, and administrative information</p>	<p>#17: Standardized conveyance transaction processes based on statutory requirements are used.</p> <p>Description of Benefit: Rewrite 25 CFR 151 and 152, Acquisition and Disposal regulations to make them more user friendly for beneficiaries and staff. The rewrite includes reformatting the content and removing steps that are no longer needed by the redesigned process.</p> <p>Benefit: A redesign of the regulations results in less time needed to complete conveyance transactions by eliminating unnecessary steps and providing assistance to staff with completing applications.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 3.3: Title, realty, and administrative information</p>	<p>#18: Use of interactive automated software for conveyance applications.</p> <p>Description: Changes in policy/procedures are updated on the interactive software tool so the process remains standard. The automated tool provides guidance on what type of conveyance is needed and the documentation required for each type.</p> <p>Benefit: Conveyance applications are electronic and standard across offices for each type of conveyance allowing staff to move between offices with little retraining needed. Standardized applications make it easier for beneficiaries to provide the correct documentation up-front to speed their conveyance completion. Original conveyance records never leave the agency, which decreases the probability of lost records.</p>	<p>3. Stewardship & management of land & natural resources</p>
<p>CTM 3.3: Title, realty, and administrative information</p>	<p>#19: 30-day notice to State and local governments re: On-reservation fee-to-trust transactions.</p> <p>Description: On-reservation Fee-Trust acquisitions are processed via a new policy issued by the BIA Director providing for one 30-day notice to State and local governments advising them that a fee-to-trust transaction is occurring. This is not a request for comments. This is strictly a notice with an opportunity for State and local governments to negotiate/mediate jurisdictional issues within the 30 day time frame. The 30-day notice at publication still</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>

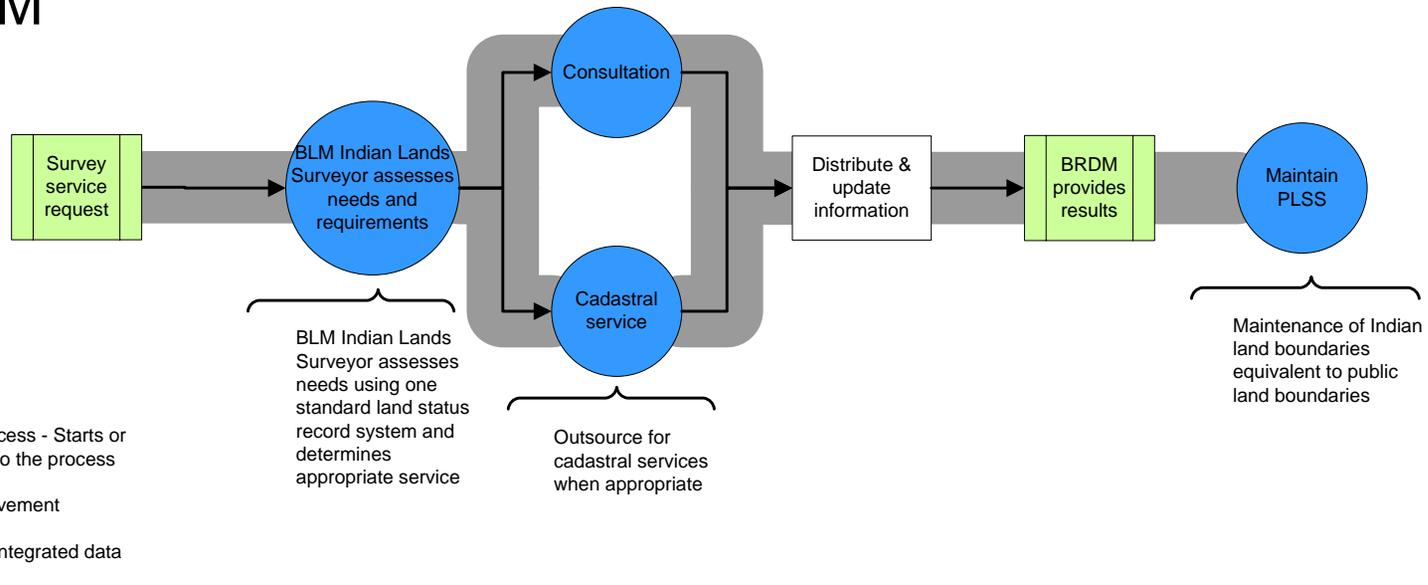
Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Ownership - Conveyances	CTM Business Lines
	<p>applies.</p> <p>Benefit: This notice advises interested parties of the transaction and allows for a period to negotiate and or mediate with the Tribe to eliminate any potential jurisdictional issues. As this is not a comment period, there is no extension of time. The expedited process improves beneficiary satisfaction and reduces fractionation by consolidating interests.</p>	
<p>CTM 3.3: Title, realty, and administrative information</p>	<p>#20: Place a Solicitor at each region to support the Ownership, Land and Natural Resources Planning, Land and Natural Resources Use and Management and Financial Operations business processes.</p> <p>Description: Access is provided to a Solicitor by personnel for any issue involving trust or restricted lands.</p> <p>Benefit: Solicitors are more accessible to provide opinions on any Indian trust related issue when located in the region they are serving. This results in improved service delivery as Solicitors have intimate knowledge of the region in which they are working. Preliminary and Final Title Opinions are no longer sent through the mail alleviating liability of lost original documentation as the integrated data provides electronic opinions.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>

Ownership - Survey

“As-Is”



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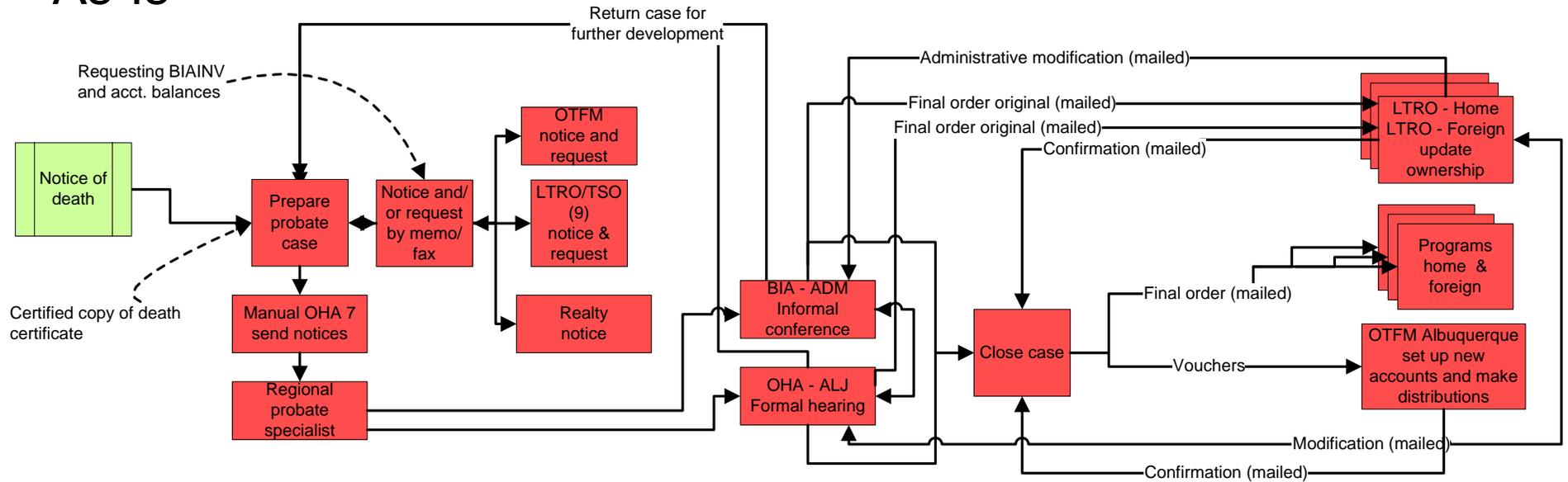


<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Ownership - Survey</p>	<p align="center">CTM Business Lines</p>
<p>CTM 3.1: Surveys</p> <p>CTM 3.2: Probate and estate administration</p> <p>CTM 3.3: Title, realty, and administrative information</p>	<p>#21: Provide a Certified Federal Surveyor Program.</p> <p>Description: Develop and implement a program to certify private land surveyors as certified Federal surveyors.</p> <p>Benefit: A program to certify non-Federal surveyors to perform Cadastral Surveys reduces the survey backlog and the time required to complete surveys of trust lands by providing a larger pool of surveyors to complete the work. Tribal surveyors are encouraged to complete the certification process giving them the ability to better serve their Tribe with enhanced skills and knowledge as well as providing opportunities to increase self-determination.</p>	<p>3. Stewardship & management of land & natural resources</p>
<p>CTM 3.1: Surveys</p>	<p>#22: Place a BLM Indian Land Surveyor at BIA regions to provide assistance up-front on all survey related activities.</p> <p>Description: Improve service delivery by providing on-site assistance at BIA Regions by efficiently using cadastral survey resources. The surveyor also identifies work that can be completed by certified Federal surveyors.</p> <p>Benefit: The surveyor provides expertise and knowledge to Agency/Tribal offices to identify when a survey is actually needed or if another service would suffice. This reduces costs associated with unnecessary or inappropriate survey services being provided. Business decisions regarding survey services are based on direct knowledge and fact as opposed to perceived need.</p>	<p>3. Stewardship & management of land & natural resources</p>
<p>CTM 3.1: Surveys</p>	<p>#23: The funding process for survey services is redesigned.</p> <p>Description: Allocated dollars are available all fiscal year instead of a partial year.</p> <p>Benefit: Having a funding process that provides for out-year projections provides more</p>	<p>3. Stewardship & management of land & natural resources</p>

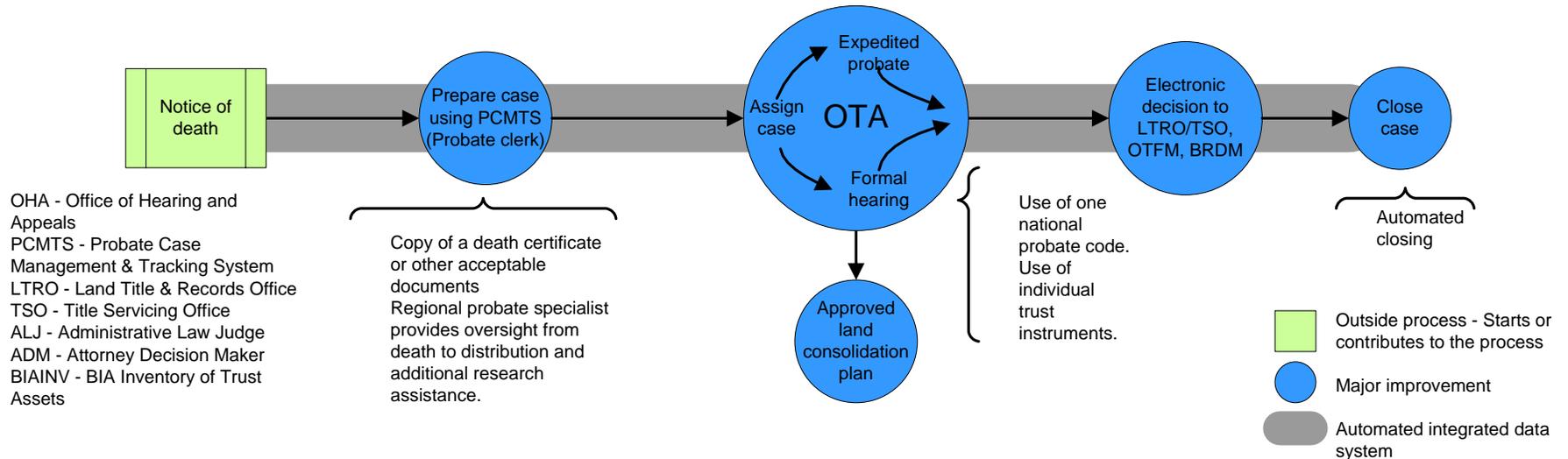
Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Ownership - Survey	CTM Business Lines
	stability for workforce planning when budget dollars are known well ahead of time. Cadastral surveys rarely take less than a year to complete and having a budget that spans several years for each survey alleviates lost productivity due to budget shortfalls.	
CTM 3.1: Surveys	<p>#24: There is one national land status record system based on geo-spatial data.</p> <p>Description: A unified geospatial land status record system based on cadastral data and based on current technologically advanced data.</p> <p>Benefit: A national system provides a standardized source of Federal and trust land status information eliminating multiple, disparate land status systems which are costly to maintain. The national system is the system of record for legal land descriptions used by all other trust systems eliminating inaccurate and/or multiple land descriptions.</p>	3. Stewardship & management of land & natural resources
CTM 3.1: Surveys	<p>#25: Stewardship of the PLSS on Indian lands is maintained.</p> <p>Description: Fund and establish the schedule for maintenance of the PLSS on Indian lands. Maintenance of the PLSS on Indian lands is at the same level as that of the PLSS on public lands. Over time, monuments and boundaries are obliterated or lost and have to be reestablished.</p> <p>Benefit: Critical infrastructure needed for accurate legal land descriptions is established and maintained which allows for more timely land transactions. The national land status record system (# 24) is based on this data.</p>	3. Stewardship & management of land & natural resources

Ownership - Probate

“As-Is”



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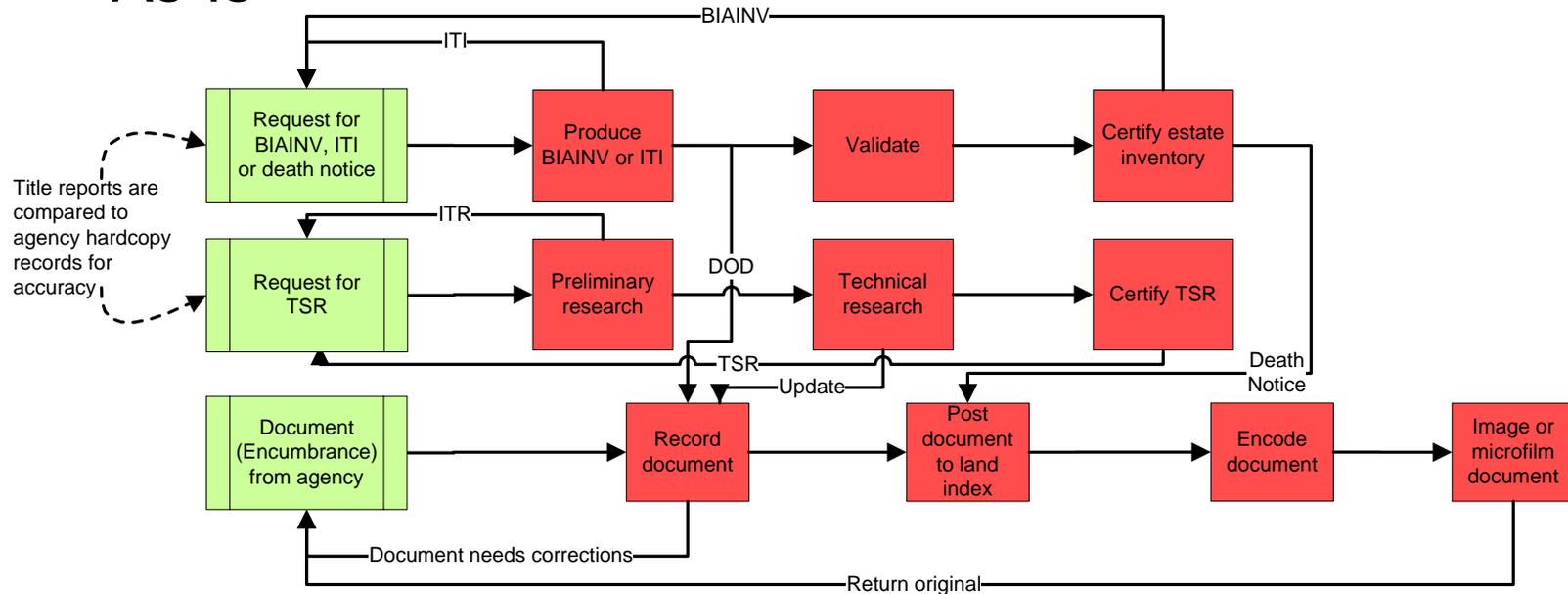
Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Ownership - Probate	CTM Business Lines
<p>CTM 3.2: Probate and Estate Administration</p> <p>CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#26: Automated tool for performing probates from death to distribution is used.</p> <p>Description: An automated tool provides guidance by directing the probate staff, based on answers to questions and documentation received, on the type of probate needed (formal hearing or expedited). It also provides resources for resolving issues by leading the user through the resources (people searches, data bases other than integrated trust data). The tool interfaces with integrated trust data which greatly reduces the need to enter data (automatic uploads of account balances, land ownership information, personal data, etc.) and allows distribution of the estate electronically. The tool collects genealogy information from completed probates for use in future probates.</p> <p>Benefit: An automated tool helps the probate staff assemble an accurate probate package in a timely manner, thereby creating a more efficient adjudication process due to less research for the deciding official. The automated probate file resolves more issues in the preparation stage, therefore more probates may meet the criteria for an expedited type of probate. The tool also helps maintain a standard process, if policy/laws change, the tool is modified to reflect those changes nationwide reducing the time to probate and estate distribution for both expedited probates and formal hearings.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resources
<p>CTM 3.2: Probate and Estate Administration</p> <p>CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#27: A single adjudicating office for Indian probates is established.</p> <p>Description: The single adjudicating office, within OHA, adjudicates all Indian probates. Appeals of decisions from this new office continue to go to the Interior Board of Indian Appeals (IBIA).</p> <p>Benefit: Deciding officials work with Indian law daily developing an in depth understanding of Indian law and associated issues. Workload is better managed and the adjudication process is streamlined by having all deciding officials in one organization. Using one national probate code and one set of regulations governing adjudication ensures more consistent decisions.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resources

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Ownership - Probate</p>	<p align="center">CTM Business Lines</p>
<p>CTM 3.2: Probate and Estate Administration CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#28: One national probate code is used. Description: The American Indian Probate Reform Act of 2004 identifies one national probate code to replace the 30+ state codes. Benefit: The use of one national probate code eliminates the need for deciding officials to be knowledgeable about multiple disparate codes. It also reduces the time needed for research to reach a decision, as there is only one source for interpretation (unless there is an approved Tribal code). This is closely associated with having one adjudicating office (see #27 above).</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resources
<p>CTM 3.2: Probate and Estate Administration CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#29: Existing research services are leveraged to assist in completing probates. Description: Provide probate staff access to all available data sources and services to build a complete probate file. Benefit: Ready access to available information helps resolve issues during probate file preparation which results in more probates that do not have any questions of fact. It allows the probate staff to document the resources used to resolve an issue. This provides the deciding official confidence in the probate file when conducting a hearing. Leveraging research services helps in the resolution of cases in which the decedent's heirs whereabouts are unknown.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management
<p>CTM 3.2: Probate and Estate Administration CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#30: Expedited probates (Mailed proposed decision, Affidavit) are used. Description: Utilization of expedited probates similar to those used in the private sector. Benefit: Expedited probates eliminate the need for formal hearings making the distribution of the estate less costly and more timely.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resources
<p>CTM 3.2: Probate and Estate Administration</p>	<p>#31: Individual trust instruments are used. Description: The BRDM counseling process (see #8) includes the preparation of individual</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation

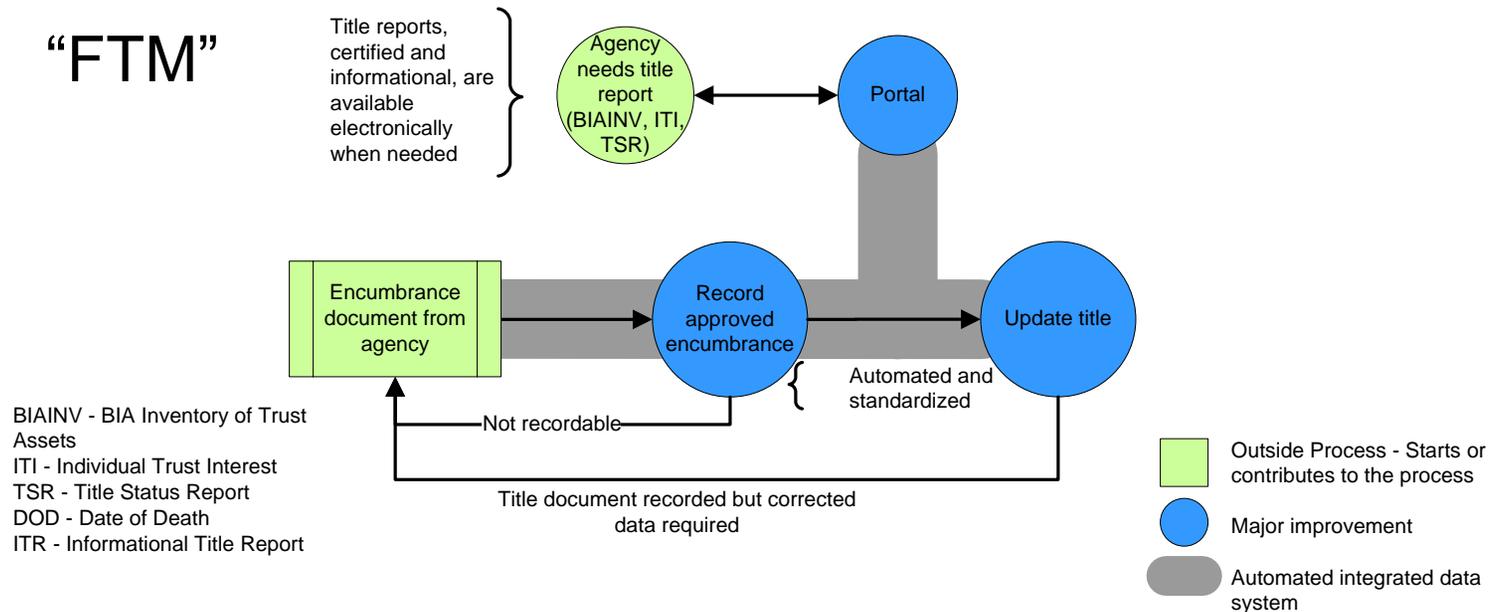
Comprehensive Trust Management (CTM) Plan Business Objectives	Major Improvement Strategies Ownership - Probate	CTM Business Lines
CTM 3.3: Title, Realty, and Administrative Information	<p>trust instruments. During this counseling session with the beneficiary, options are explained and the beneficiary’s intent for use and management is captured in writing. This includes what is to be done with their individual Indian trust assets upon their death. These agreements are updated annually and document the beneficiary’s informed decision.</p> <p>Benefit: An individual trust instrument is the DOI’s fiduciary responsibility defined in writing as a result of counsel with the individual beneficiary and expresses the individual’s wishes, including what is to be done with all individual trust assets (land and money) upon their death. Use of individual trust instruments, where culturally appropriate, may significantly reduce probates.</p>	<p>2. Trust financial management</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 3.2: Probate and Estate Administration</p> <p>CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#32: There is a single contact with oversight of probate from death to distribution.</p> <p>Description: To ensure timely processing of probates, a probate specialist monitors the progress of each probate within their jurisdiction from the notice of death to distribution of the estate.</p> <p>Benefit: The probate specialist is the first line of contact when issues arise at the Agency level in the preparation of a probate. They assist the deciding officials in the resolution of procedural and technical issues, thereby, reducing cycle time for processing probates.</p>	<p>3. Stewardship & management of land & natural resources</p>

Ownership - Title

“As-Is”



“FTM”



BIAINV - BIA Inventory of Trust Assets
 ITI - Individual Trust Interest
 TSR - Title Status Report
 DOD - Date of Death
 ITR - Informational Title Report

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Ownership - Title</p>	<p align="center">CTM Business Lines</p>
<p>CTM 3.1: Surveys</p> <p>CTM 3.2: Probate and Estate Administration</p> <p>CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#33: Nationwide Title data is available.</p> <p>Description: Nationwide title data for title/ownership information for Trust/restricted land is readily accessible by authorized personnel.</p> <p>Benefit: Makes title/ownership information available to authorized personnel regardless of their location. A query of the title/ownership data by probate staff yields information to compile an inventory of a decedent's trust lands nationwide. The BRDM process provides beneficiaries information on their trust holdings from any integrated servicing office regardless of where the beneficiary's trust land is located. The submitted Title documents that affect the title/ownership data are electronic and are processed from any office.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resources
<p>CTM 3.2: Probate and Estate Administration</p> <p>CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#34: Recordation practices for title affecting documents are standardized.</p> <p>Description: Identify what documents need to be recorded, e.g. Any type of lease that produces income or encumbers the land for over one year.</p> <p>Benefit: The workload for Land Title Record Offices (LTRO's) is focused on those title documents that significantly impact the use of the land or generate income. Standardizing recordable documents eliminates the work related to Title documents that have little or no impact on the use of the land.</p>	<ol style="list-style-type: none"> 2. Trust financial management 3. Stewardship & management of land & natural resources
<p>CTM 3.2: Probate and Estate Administration</p> <p>CTM 3.3: Title, Realty, and Administrative Information</p>	<p>#35: Utilize electronic documents for transactions.</p> <p>Description: Use of electronic documents/authorizations from the Conveyance, Probate and Land and Natural Resources Use and Management processes.</p> <p>Benefit: Use of electronic documents that are contained in an automated tool reduce the error rate (by automatic upload), helps standardize the process, greatly reduces the time when transferring work from one process to another and accurately tracks the status of the process. This improves the efficiency of all trust processes that produce title affecting documents and improves the accuracy and timeliness of the LTRO in providing real-time Title/Ownership information.</p>	<ol style="list-style-type: none"> 1. Beneficiary trust representation 2. Trust financial management 3. Stewardship & management of land & natural resources

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Land and Natural Resources Planning - Appraisal</p>	<p align="center">CTM Business Lines</p>
<p>CTM 4.3: Land and Natural Resource Asset Business Management</p>	<p>#36: Valuations are completed in the development of a wide-area plan.</p> <p>Description: Land valuations are conducted as input to a wide-area plan. The report is transmitted to the planning team.</p> <p>Benefit: The valuations are completed, using the appropriate method, based on input from the beneficiary to facilitate better management of the land and natural resources.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 4.4: Appraisals</p>	<p>#37: The appraisal process is standardized.</p> <p>Description: Standard operating procedures for initiating and implementing requests are used. Verification of potential transactions and all the necessary supporting documentation are provided.</p> <p>Benefit: The integrated servicing office, in consultation with the beneficiaries, forwards the request to the appropriate office for the requested information and / or services to be provided. The office validates the application as well as the need for the valuation request.</p> <p>This eliminates the need for unnecessary valuation requests thereby reducing any potential backlog and reducing turnaround time for incomplete valuation requests.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 4.3: Land and Natural Resource Asset Business Management</p> <p>CTM 4.4: Appraisals</p>	<p>#38: Minerals appraisal responsibility (not associated with leasing) is clearly identified.</p> <p>Description: Responsibility for conducting miscellaneous appraisals of minerals on Indian trust land is moved from BLM to the consolidated DOI/NBC Office of Appraisal Services. Minerals valuations are included in the development of the wide-area plan.</p> <p>Benefit: Accountability resides in one organization to ensure mineral valuations are completed as required.</p>	<p>3. Stewardship & management of land & natural resources</p>

<p align="center">Comprehensive Trust Management (CTM) Plan Business Objectives</p>	<p align="center">Major Improvement Strategies Land and Natural Resources Planning</p>	<p align="center">CTM Business Lines</p>
<p>CTM 2.1: Expand self-governance compacts and self-determination contracts</p> <p>CTM 4.1: Land & Natural Resource Asset Plans and Stewardship Strategies</p>	<p>#39: Support for Wide-Area Planning is provided to beneficiaries.</p> <p>Description: Planning is performed over an entire reservation, or consortium of land tracts or smaller reservations with similar resources. Beneficiary involvement is critical to effective planning and is the preferred method of wide-area plan development.</p> <p>Benefit: Wide-area plans result in less work needed for economic development and individual business projects. Time delays in approving agreements/ leases and in securing environmental clearances are significantly reduced. Provides management with direction and organization. The planning process provides for an investigation of available resources and information on how best to optimize their use. Expansion of the planning procedure to include the complete socio-economic pattern allows for decisions that are based on more accurate and reliable data.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 2.1: Expand self-governance compacts and self-determination contracts</p> <p>CTM 4.1: Land & Natural Resource Asset Plans and Stewardship Strategies</p> <p>CTM 4.2: Preservation and Protection of Land and Natural Resource Assets</p>	<p>#40: Resource use conflicts are minimized.</p> <p>Description: Multiple uses of resources on single tracts or extended areas can be readily identified and their use conflicts addressed in advance, with appropriate mitigative measures in place.</p> <p>Benefit: The planning process addresses the issues surrounding multiple uses of resources; oil and gas, agricultural leasing, rights-of-way, etc. in order to recognize potential conflicts between each type of resource use. This allows future projects on specified tracts or land areas to more effectively design development plans for each resource with minimal conflict in order to maximize economic opportunity.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 2.1: Expand self-governance compacts and self-determination contracts</p> <p>CTM 4.1: Land & Natural Resource Asset Plans and Stewardship Strategies</p>	<p>#41: NEPA requirements in Indian Country are redefined.</p> <p>Description: Redefine NEPA applicability for Indian lands so that the same economic opportunities are realized in Indian country that occurs on neighboring non-Indian fee lands. Currently, Indian lands require the same NEPA regulations as are applied to public lands resulting in cumbersome, restrictive and often duplicative procedures for any type of conveyance or resource development.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>

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<p>CTM 4.2: Preservation and Protection of Land and Natural Resource Assets</p>	<p>Benefit: Realigning the NEPA regulations for Indian lands eliminates the loss of economic opportunity, delays in lease approval and project implementation, as well as provides or expands the ability for Tribes to conduct their own environmental determinations. Economic development projects are developed using competitive rates while still requiring sound environmental practices.</p>	
<p>CTM 2.1: Expand self-governance compacts and self-determination contracts</p> <p>CTM 4.1: Land & Natural Resource Asset Plans and Stewardship Strategies</p> <p>CTM 4.2: Preservation and Protection of Land and Natural Resource Assets</p>	<p>#42: NEPA requirements are completed during development of the wide-area plan.</p> <p>Description: Conduct all NEPA documentation during development of the wide-area plan.</p> <p>Benefit: Completing NEPA requirements for the area described in the wide-area plan eliminates time delays in achieving a final plan for approval. Addressing NEPA, along with related environmental permits prior to lease negotiations, results in considerable time savings when development projects are planned.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 4.1: Land & Natural Resource Asset Plans and Stewardship Strategies</p>	<p>#43: DOI provided wide-area plan, when necessary.</p> <p>Description: The DOI prepared plan occurs when the beneficiary has not prepared a plan.</p> <p>Benefit: In the absence of a beneficiary developed plan, the DOI prepared plan provides data to respond to requests for information and advice on proposed projects. Provides documentation of advice and counsel provided to the beneficiary on the viability of projects and management of Trust assets. Assures that highest values and best uses have been identified.</p>	<p>1. Beneficiary trust representation</p> <p>3. Stewardship & management of land & natural resources</p>

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<p>CTM 3.3: Title, Realty, and Administrative Information</p> <p>CTM 4.3: Land and natural Resources Asset Business Management</p> <p>CTM 6A.3: Business Practices</p> <p>CTM 6A.5: Records Management</p> <p>CTM 6 B: Administrative Services that provide appropriate systems and tools to manage the fiduciary trust</p> <p>CTM 6 B.1: Information Technology</p>	<p>#44: Land use lease provisions are standardized by type of lease.</p> <p>Description: Templates and leasing requirement checklists are developed for specific land use lease types, such as agricultural leases, residential leases and rights-of-way permits, so that lease terms and conditions are standardized while allowing for the addition of unique stipulations or provisions. Preparation of these land use leases is facilitated by the use of an interactive DOI-wide automated land and natural resource management system. This system replaces multiple systems and manual records. The system provides for electronic authorizations and workflow processing from program staff to line officials for lease review and approval. In some cases, a land use electronic file may be appended with relevant imaged documents to support lease terms or meet lease requirements.</p> <p>Benefit: Program staff are able to function effectively in multiple locations using the same lease contracts, and terms and conditions. Integrated servicing office staff are familiar with the standard terms and conditions and more easily respond to inquiries.</p> <p>The standard lease terms and conditions expedite information transfer for payment processing, account reconciliation and exception review. Land use status reports are generated, reducing the time for manual compilation of summary information. Measuring program performance to determine the average processing time for various types of land use leases by location is improved, thereby identifying workload issues and program effectiveness.</p>	<p>2. Trust financial management</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 4.3: Land and natural Resources Asset Business Management</p> <p>CTM 6A.3: Business Practices</p>	<p>#45: Fewer site-specific environmental clearance reviews are required.</p> <p>Description: Land use leasing and support measures were previously inhibited by inconsistent application of NEPA requirements. Expanding the current categorical exclusion list to include land transactions that do not need environmental review reduces the need for formal environmental assessments. As mentioned in the Land and Natural Resources Planning section, completion of NEPA requirements in coordination with development of a wide-area plan (# 42) also reduces the need for site-specific reviews.</p> <p>Tribal environmental reviews and determinations are allowed to substitute for the reviews</p>	<p>3. Stewardship & management of land & natural resources</p>

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	<p>performed by other Federal Agencies, where appropriate.</p> <p>Benefit: Processing time is reduced for land use leasing and support activities that can be excluded from the more formal and lengthy environmental review procedures.</p> <p>Tribal environmental reviews support self-governance and enhances the Tribe's ability to balance the need for development with environmental concerns. The Tribe may also have environmental concerns that are not addressed by a Federal Agency. For example, there may be certain plants or animals that are culturally significant to the Tribe but are not included on the US Fish & Wildlife Service's endangered or threatened species list.</p>	
<p>CTM 3.3: Title, Realty, and Administrative Information</p> <p>CTM 4.3: Land and natural Resources Asset Business Management</p> <p>CTM 6A.3: Business Practices</p> <p>CTM 6 B: Administrative Services that provide appropriate systems and tools to manage the fiduciary trust</p> <p>CTM 6 B.1: Information Technology</p> <p>CTM 6A.4: Risk Management</p>	<p>#46: The requirements for land use consent are streamlined.</p> <p>Description: Consent requirements are modified and standardized to provide for simplified notification. These standard consent notice procedures developed for specific lease types reduces regional variances.</p> <p>Consent is calculated at a management unit level rather than tract by tract. Management units can be a single tract of land, a partial tract, or, in most instances, several tracts. The owner interests within each tract are weighted as a percentage of ownership in the entire management unit. The consent threshold for the management unit is attained when 51% of the weighted ownership interests either approve or deny consent. If ownership of the land is highly fractioned (<i>over 50 but less than 100 undivided interests and no single owner has more than 10% of the ownership base; or, 100 or more owners</i>), the Agency Superintendent is authorized to lease land use on behalf of the owners and provide constructive notice.</p> <p>Benefit: Since a significant portion of trust land is highly fractionated, this significantly reduces the consent workload in Agency offices as well as the effort required to secure beneficiary consent to lease. The Superintendent provides a notice to individual ownership interests indicating they have 90 days in which to negotiate a lease on their own behalf, before contracting use. Additionally, unitization of consent on a management unit basis prevents blockage by a single tract owner when other beneficiaries want to proceed.</p> <p>Standardized policies and procedures allow for a more uniform application of consent</p>	<p>3. Stewardship & management of land & natural resources</p>

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	<p>processing, enhances the efficient manner in which consent is handled, and avoids variations and repeated attempts to secure consent.</p>	
<p>CTM 3.3: Title, Realty, and Administrative Information</p> <p>CTM 4.3: Land and natural Resources Asset Business Management</p> <p>CTM 6A.3: Business Practices</p> <p>CTM 6A.5: Records Management</p> <p>CTM 6 B: Administrative Services that provide appropriate systems and tools to manage the fiduciary trust</p> <p>CTM 6 B.1: Information Technology</p>	<p>#47: Owner’s use of trust land and natural resources is documented consistently and improved policies are developed to better protect trust assets from misuse.</p> <p>Description: Establishing owner’s use policies and requirements serves to reduce the misuse or misapplication of sustained use principles. The process requires that a land use lease be perfected to compensate co-owners for a single owner’s use.</p> <p>Benefit: Unrecorded owner’s use makes trespass determinations difficult and may diminish the value of the trust asset. Documenting owner’s use provides new opportunities to consult with owners on proper land stewardship planning and use. Co-owners’ interests in an allotment is better protected against the actions of one beneficiary user if a use lease is perfected. Reduced risk and liability from inconsistent interpretation or protection of owners’ rights is also realized.</p>	<p>3. Stewardship & management of land & natural resources</p>
<p>CTM 3.3: Title, Realty, and Administrative Information</p> <p>CTM 4.3: Land and natural Resources Asset Business Management</p> <p>CTM 6A.3: Business Practices</p> <p>CTM 6A.5: Records Management</p> <p>CTM 6A.6.2: Consolidation and Accountability</p> <p>CTM 6A.6.4: Activity-Based Costing</p>	<p>#48: Improved management and tracking of project costs associated with land and natural resource leasing and support activities.</p> <p>Description: DOI incurs expenses in the management of trust lands, which include natural resources assessments and biological surveys such as soil and range, wildlife, hydrologic, noxious weed, etc. In some cases, these and other activities are performed to improve lands for leasing. In other instances, land assessments may result in lease provisions to perform a certain activity as a condition of the lease. Often, expenditures from appropriated funds are used to purchase or lease services in the performance of these duties.</p> <p>Benefit: There is improved accountability for the use of appropriated funds and expenditures can be tied to various program budgets and project components. This helps managers identify program expenditures to fund land use support activities and address wide-area and management unit action items. It also provides data for determining budgetary needs to address</p>	<p>3. Stewardship & management of land & natural resources</p>

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<p>CTM 6A.8: Performance measures CTM 6 B: Administrative Services that provide appropriate systems and tools to manage the fiduciary trust</p>	<p>unmet requirements.</p>	
<p>CTM 3.3: Title, Realty, and Administrative Information CTM 4.3: Land and natural Resources Asset Business Management CTM 6A.3: Business Practices CTM 6A.5: Records Management CTM 6B: Administrative Services that provide appropriate systems and tools to manage the fiduciary trust CTM 6B.1: Information Technology</p>	<p>#49: Land use lease financial monitoring and enforcement policies and procedures are standardized. Description: The standardization of policies by which lease financial monitoring is performed provides a more consistent manner to address delinquencies, under payments, bond requirements, penalties and subsequent enforcement escalation actions. Performance metrics provide for the timely processing of financial monitoring issues. Benefit: Standardized policies and procedures and workflow tools on delinquent payment escalation provide for improved debt collection, tracking and routing of enforcement issues. Standardized performance metrics for financial monitoring provide improved guidance on performing financial monitoring and enforcement activities.</p>	<p>2. Trust financial management 3. Stewardship & management of land & natural resources</p>
<p>CTM 3.3: Title, Realty, and Administrative Information CTM 4.3: Land and natural Resources Asset Business Management CTM 6A.3: Business Practices CTM 6A.5: Records Management CTM 6 B: Administrative Services that provide appropriate systems and</p>	<p>#50: Trust land monitoring standards are defined and implemented. Description: Monitoring of trust lands is the ability to inspect resource conditions and land use activities for trust lands under land use leases and for lands in owners' use, reserved status, idle and special designated areas. Lands not under lease may have land use conditions and requirements that specify the terms under which any activity is allowed. Benefit: Mitigates the risk associated with trespass or misuse by beneficiaries or third parties. Prevents incidents of inappropriate use of non-leased lands, including unapproved leasing to third parties, beneficiaries creating environmental and hazardous situations, illegal activities, inappropriate conservation techniques and trespass. Implementing pro-active monitoring</p>	<p>3. Stewardship & management of land & natural resources</p>

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<p>tools to manage the fiduciary trust</p>	<p>allows DOI to mitigate risks.</p> <p>Identification of new land use leasing opportunities is better determined by onsite inspection of non-leased lands. In some cases, unused lands may not have been leased due to pre-existing conditions. If monitoring indicates that conditions have changed, then leasing of lands is reconsidered.</p>	
<p>CTM 3.3: Title, Realty, and Administrative Information</p> <p>CTM 4.3: Land and natural Resources Asset Business Management</p> <p>CTM 6A.3: Business Practices</p> <p>CTM 6A.5: Records Management</p> <p>CTM 6 B: Administrative Services that provide appropriate systems and tools to manage the fiduciary trust</p>	<p>#51: Land use lease production monitoring is standardized.</p> <p>Description: Procedures for monitoring production-based land use leases such as oil and gas or timber are standardized. For example, consistent procedures for monitoring how forest management deductions (FMDs) are being applied are developed, and the wide range of protocols for oil and gas leasing between various agencies that share in the management of those resources are standardized. Communication barriers inhibiting the effective flow of information required for lease approval, notice of first production and monitoring activities are eliminated. Reporting of final inspections on lease terminations is improved. For other production-based lands uses, improved standardized polices and procedures for reporting, reconciliation, and valuation verification are also established.</p> <p>Benefit: Improved guidance in applying regulations results in reducing the risk from inconsistent practices. Standardization of procedures to monitor the various types of production-based leases provides consistency in determining independent production verification. More effective production-based land use lease management is evident as the communication between various agencies and from various locations is improved. Lease royalty collection, distribution, reconciliation and monitoring activities are also improved, providing incentive for more accurate and timely producer payments, and a reduction of discrepancy reconciliation efforts.</p>	<p>2. Trust financial management</p> <p>3. Stewardship & management of land & natural resources</p>
<p>CTM 3.3: Title, Realty, and Administrative Information</p> <p>CTM 4.3: Land and natural Resources Asset Business</p>	<p>#52: Comprehensive land inventory and status reports are available to those responsible for land and natural resources management and protection.</p> <p>Description: An improved comprehensive land status summary report provides periodic and annual reports that include the number and type of land use contracts nationally and by</p>	<p>3. Stewardship & management of land & natural resources</p>

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<p>Management</p> <p>CTM 6A.3: Business Practices</p> <p>CTM 6A.5: Records Management</p> <p>CTM 6 B: Administrative Services that provide appropriate systems and tools to manage the fiduciary trust</p> <p>CTM 6 B.1: Information Technology</p>	<p>location. The report summarizes program support activities as well as land use monitoring actions. The automated report consolidates information that was previously reported separately by BIA natural resources and realty programs. Annual land status summary reports for the public are available.</p> <p>Benefit: A comprehensive summary of trust assets, activities on trust lands, and pertinent data to illustrate DOI actions to manage land and natural resources is available. The report facilitates the analysis of summary trust reporting data and to determine areas of high risk. General public understanding and appreciation of the trust activity being performed is improved.</p>	
<p>CTM 4.3: Land and natural Resources Asset Business Management</p>	<p>#53: Provide an opportunity for owner-managed interests.</p> <p>Description: The American Indian Probate Reform Act of 2004 provides for co-owners of trust or restricted interest in a parcel of land to enter into agricultural leases, not to exceed 10 years, when all owners agree that this arrangement is acceptable and receives Secretarial approval. Once the initial approval is obtained, no further approval by the Secretary is needed with regards to the lease. In an owner-managed lease, the Secretary is not responsible for the collection of, or accounting for, any lease revenues. This becomes the responsibility of the co-owners. Owner-managed status is revoked when all co-owners request it in writing of the Secretary. At that time, the Secretary becomes responsible for the collection of, and accounting for all future lease revenues.</p> <p>Benefit: Provides increased beneficiary involvement / responsibility in the use and management of their assets.</p>	<p>3. Stewardship & management of land & natural resources</p>
<p>CTM 4.3: Land and natural Resources Asset Business Management</p>	<p>#54: Allow direct pay for 100% ownership agreement.</p> <p>Description: The provision for direct pay is allowed for Individual Indians when 100% of all owners give their consent for the arrangement.</p> <p>Benefit: Individual landowners receive their revenue payments more quickly.</p>	<p>3. Stewardship & management of land & natural resources</p>