

“To-Be” Gap Analysis Implementation Steps

1. Gap Identification: BRDM Gap Number 6: Beneficiary Asset Counseling
2. Implementation Steps:
 - a. Step 1: Develop in-depth training certification curriculum for Trust Officer which will provide the working knowledge required to manage and / or protect trust assets. The following subject matter is required:
 - i. Financial planning and associated analytical tools.
 - ii. Land use planning and associated analytical tools.
 - iii. Land use management and associated analytical tools.
 - iv. Estate planning.
 - v. Reviewing asset inventories.
 - b. Step 2: Develop training that will provide the Trust Officer with conceptual knowledge on how to analyze the integrated data so that asset management options can be developed and recommended to the beneficiary. Analysis must include using tools for displaying information in graphic form.
 - c. Step 3: Develop procedures and situational analysis tools or formulas that will allow Trust Offices and program specialists to develop an individualized set of management options based upon the configuration of a beneficiary’s assets i.e., inventory of assets, number of owner interests, tribal restrictions. Individualized options may include, ILCA buyback, individual trust agreements, acquisition of a trust interest.
 - d. Step 4: Advertise and build the counseling service by inviting beneficiaries into the Integrated Servicing Office to review asset statements and presenting a scenario on how asset management counseling can be beneficial.
 - e. Step 5: Initiate proactive or reactive contact with the beneficiary. Initial contact steps include:
 - i. Verify beneficiary’s identity, if beneficiary contact.
 - ii. Verify 3rd party’s right to beneficiary information, if 3rd party contact.
 - iii. Document inquiry / request in the tracking system.
 - f. Step 6: Develop standard procedures for identifying, understanding and recording the beneficiary’s interests, concerns and needs related to financial planning, land and natural resources planning and land and natural resources use and management. Begin by:
 - i. Reviewing asset statements.
 - ii. Inventorying assets.
 - iii. Considering the configuration of assets i.e., locations, number of owner interests, etc.
 - iv. Starting a preliminary analysis of the integrated data.
 - v. Initiating a discussion of the possibilities of better managing or protecting their trust assets.

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- g. Step 7: Document information obtained during discussion; summarize in tracking system.
- h. Step 8: Utilize situational analysis tools to determine if any formulated options can be applied that would meet the beneficiary’s needs and interests based upon a certain type of asset ownership profile.
 - i. Individualize the options to the extent possible.
 - ii. Review and explain available options to beneficiary, including a discussion of the feasibility of the options.
- i. Step 9: If a formulated option will not apply, develop procedures for conducting an in-depth analysis of the integrated data to identify options. The appropriate use of analytical tools may vary based upon the beneficiary’s need and interests i.e., spatial analysis tools for land use and market analysis tools for financial planning.
 - i. Analysis should take into consideration:
 1. Effectiveness of current asset use.
 2. Costs.
 3. Benefits.
 4. Planning and land use criteria.
 5. Fiduciary obligations, financial criteria.
 6. Environmental and cultural resource criteria.
 - ii. Begin a review of the options with the beneficiary using analytical tools and graphs as necessary. Include a discussion on:
 1. How the options will work.
 2. Feasibility of the options (include cost and resource issues).
 3. Whether or not the options address the beneficiary’s long or short term interests?
 4. If the options mesh with other planning and land use initiatives.
- j. Step 10: Document the information provided to the beneficiary; summarize the information in the tracking system.

3. Dependencies on Business Processes:

Business Process Name	Process Name (As specified in “To- Be” Model)	Dependency Description
BRDM		
Predecessors	1. B.1 Accept Inquiry / Request	1. Verification of beneficiary’s identity; Document inquiry / request in the tracking system; Verification of 3 rd party’s right to beneficiary

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Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
		information must be preformed prior to the provision of counseling.
Successors	<ol style="list-style-type: none"> 1. B.3 Communicate Information 2. B.6.2 Facilitate Beneficiary Interests in Asset Management 	<ol style="list-style-type: none"> 1. Provide results of counseling sessions to the beneficiary. 2. Counseling may facilitate beneficiary involvement in Ownership, Land and Natural Resources Planning and / or Land and Natural Resources Use and Management.
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Predecessors	<ol style="list-style-type: none"> 1. FO.2.1 Review Accounts and Investment Options 	<ol style="list-style-type: none"> 1. Financial Operations may participate in the provision of investment options counseling to Tribes.
Successors	<ol style="list-style-type: none"> 1. None 	
LNRP – Wide Area Plan		
Predecessors	<ol style="list-style-type: none"> 1. P.2.2 Research Data and Beneficiary Intent 2. P.4 Evaluate an Existing Land and Natural Resource Plan 	<ol style="list-style-type: none"> 1. Planning may participate in the provision of counseling to beneficiaries on land use based on an understanding of identified intent. 2. Planning may participate in the provision of counseling to tribes on variances and new alternatives to existing plans.
Successors	<ol style="list-style-type: none"> 1. None 	
LNRP - Appraisals		
Predecessors	<ol style="list-style-type: none"> 1. None 	
Successors	<ol style="list-style-type: none"> 1. None 	
LNRUM		
Predecessors	<ol style="list-style-type: none"> 1. UM.3.4 Perform Land Use Technical Assistance 	<ol style="list-style-type: none"> 1. Use and Management may participate in the provision of counseling and technical assistance regarding use of land and natural resources to beneficiaries.

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Business Process Name	Process Name (As specified in “To-Be” Model)	Dependency Description
	2. UM.4.2 Document Owner or Special Use 3. UM.4.3 Assess Management Unit Use 4. UM.4.5 Report Land Status Summary	2. Use and Management may participate in the provision of counseling and technical assistance regarding owner or special use to beneficiaries. 3. Use and Management may participate in the provision of counseling regarding incidences of non-compliance and significant changes in management units. 4. Use and Management may participate in the provision of counseling by explaining land management summary reports.
Successors	1. None	
Ownership – Title		
Predecessors	1. None	
Successors	1. None	
Ownership – Probate		
Predecessors	1. O.3.3 Close Probate Case	1. Probate may participate in the provision of counseling to new heirs on estate planning.
Successors	1. None	
Ownership - Conveyance		
Predecessors	1. None	
Successors	1. None	
Ownership - Survey		
Predecessors	1. O.2.1 Assess Customer Needs	1. Survey may provide counseling on survey needs.
Successors	1. None	

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4. Dependencies on Universal Support Functions:

Universal Support Function	Dependency Description
Automated System Requirements	<ol style="list-style-type: none"> 1. Beneficiary Request Tracking System: Provide a capability to document and track beneficiaries’ inquiries / requests. (See Beneficiary Request Tracking System Functional Requirements Document for additional details.) 2. Integrated Trust Data: Provide rapid query and response access to accurate beneficiary, financial, ownership, land and natural resources information to address beneficiary’s request and inter-process transactions. 3. Infrastructure network: Provide sufficient network capabilities to support accessing the integrated trust data and utilizing the tracking system. 4. Workflow System: Provide a capability to electronically move trust related documents and notifications from office to office. 5. Imaging System: Provide a capability to image trust related documents and to query and retrieve the imaged documents. 6. Assignment of Personal Identification Numbers.
Policies, Procedures and Regulations	<ol style="list-style-type: none"> 1. None
Training	<ol style="list-style-type: none"> 1. Use of the Beneficiary Request Tracking System. <ol style="list-style-type: none"> a. Document request. b. Complex query and providing informed response. c. Trend analysis. 2. Use of the workflow system. 3. Use of the imaging system. 4. Access and query of the integrated data. <ol style="list-style-type: none"> a. Basic query. b. Complex query. c. Analysis of integrated data to develop asset management options. d. Analyze asset information and apply formulas to identify potential options.

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Universal Support Function	Dependency Description
	<ul style="list-style-type: none"> e. Graphically displaying information and producing reports. 5. Communications and customer service management. 6. Trust relationship management.
Records Management	<ul style="list-style-type: none"> 1. Storage of electronic records.
Risk Assessment	<ul style="list-style-type: none"> 1. Risk associated with: <ul style="list-style-type: none"> a. Authentication of beneficiary’s identity. b. Use of Personal Identification Number. c. 3rd Party requests for information. d. Data access security controls not being adequate. e. Providing information based on erroneous data. f. Releasing trust information to the public. g. Providing options, advice or solutions to the beneficiary.
Workforce Planning	<ul style="list-style-type: none"> 1. None
Internal Controls / Fiduciary Security	<ul style="list-style-type: none"> 1. None