

“To-Be” Gap Analysis Implementation Steps

1. Gap Identification: UM Gap Number 8: Standardize contract financial monitoring and enforcement.
2. Implementation Points:
 - a. Step 1: Refine policies and information standards.
 - i. Define contract and receivables review metrics and frequencies for financial compliance.
 - ii. Develop standard, common delinquent payment escalation steps.
 - iii. Standardize common definitions and remedies for land use contract non-compliance, trespass, and other related damages to trust land or natural resources.
 - iv. Standardize common penalty and fine structure for the above non-compliance or damages.
 - v. Develop policy and define procedure for factoring delinquent account collections.
 - b. Step 2: Define workflow procedures.
 - c. Step 3: Negotiate outsourced factoring contracts with appropriate financial institutions, incorporating Service Level Agreements, and standard terms protecting and guaranteeing adequate financial protection to beneficiaries for underperforming or non-compliant land use.
 - d. Step 4: Refine automated systems for land use contracts (terms), billing, and funds receivable.
 - e. Step 5: Develop and deploy training on new policies and procedures, coordinated with handbook refinements.

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3. Dependencies on Business Processes:

Business Process Name	Process Name (As specified in “To- Be” Model)	Dependency Description
BRDM		
Predecessors	1. None	
Successors	1. None	
FO		
Predecessors	1. FO.1.1a Create Trust Funds Receivable 2. FO.1.1b Create Non-Trust Funds Receivable 3. FO.5.0 Reporting & Statements	1. Existing receivables balances, activity, and discrepancies. 2. Existing escrow account balances, activity, and discrepancies. 3. Receivables balances, aged accounts receivable, delinquencies, etc.
Successors	1. FO.1.1a Create Trust Funds Receivable 2. FO.1.1b Create Non-Trust Funds Receivable 3. FO.1.4 Impose Penalties and Send Notices 4. FO.1.2 Receive and Post Funds	1. Request modification of receivable, based on discrepancy resolution. 2. Request modification of receivable, based on discrepancy resolution. 3. Financial terms for fines and penalties for remittance delinquency, or non-compliant land use. 4. Proceeds from factoring delinquent receivables, for processing as settlement and distribution to beneficiaries.

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LNRP – Wide Area Plan		
Predecessors	1. None	
Successors	1. None	
LNRP - Appraisals		
Predecessors	1. None	
Successors	1. P.1.1 Determine Appropriate Valuation Method	1. Material variances in current lease FMV from the originally appraised value; and, reasons for a recommended change in appraisal method, value, or comparative worth.
LNRUM		
Predecessors	1. UM.4.1 Monitor Management Units 2. UM.4.3 Assess MU Use	1. Compliance observations of the use of the land or natural resources. 2. Compliance status, and any recommended communication, financial assessment, or enforcement actions.
Successors	1. UM.4.4 Perform Enforcement Action	1. Recommended enforcement action, fines/penalties to be assessed, etc.
Ownership – Title		
Predecessors	1. None	
Successors	1. None	
Ownership – Probate		
Predecessors	1. None	
Successors	1. None	
Ownership - Conveyance		
Predecessors	1. None	
Successors	1. None	
Ownership - Survey		
Predecessors	1. None	
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. Land Management System with refined financial terms and automatic, pre-defined fines and penalties. 2. Funds Receivable System, with ability to bill for fines and penalties, and the ability to perform cash application of proceeds from a receivables factoring, which serves as settlement in full for the receivables balance, while maintaining the history of the payment problems and transactions.
Policies, Procedures and Regulations	<ol style="list-style-type: none"> 1. Common delinquent payment escalation steps. 2. Common definitions and remedies for land use contract non-compliance, trespass, and other related damages to trust land or natural resources. 3. Common penalty and fine structure for the above non-compliance or damages. 4. Develop policy and define procedure for factoring delinquent account collections.
Training	<ol style="list-style-type: none"> 1. Use of the Land Management System to maintain financial terms, fines and penalties 2. Use of the Funds Receivable System to levy and reconcile such fines, penalties, as well as apply and reconcile the factoring proceeds.
Records Management	<ol style="list-style-type: none"> 1. Storage of electronic records
Risk Assessment	<ol style="list-style-type: none"> 1. None
Workforce Planning	<ol style="list-style-type: none"> 1. None
Internal Controls / Fiduciary Security	<ol style="list-style-type: none"> 1. None