IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

MAY 1 3 35 PM '03

ELOUISE PEPION COBELL, et al.,	)	
	)	
Plaintiffs,	)	
	)	
v.	)	Case No. 1:96CV01285
	)	(Judge Lamberth)
GALE NORTON, Secretary of the Interior, et al.,	)	
	)	
Defendants.	)	
	)	

NOTICE OF FILING OF INTERIOR'S COMPREHENSIVE TRUST MANAGEMENT PLAN

Interior Defendants hereby give notice of the filing of their Comprehensive Trust Management Plan, as referenced in Interior's Status Report to the Court Number Thirteen.

A copy of the Comprehensive Trust Management Plan is attached hereto.

Dated: May 1, 2003

Respectfully submitted,

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Comprehensive Trust Management Plan

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Preface

From 1998 until January 2002, the Department of the Interior's (DOI's) Indian fiduciary[1] trust management reform efforts focused on completing the Trust Management Improvement Project, as outlined in the *High Level Implementation Plan (HLIP)*. The *HLIP*, amended in February 2000, detailed numerous trust management reform tasks. Although many of the tasks in the HLIP have been completed, DOI has not achieved the desired improvement in trust management because the tasks were not linked to an overall strategy.

In January 2002, the Secretary of the Interior, through the Office of Indian Trust Transition (OITT), launched an effort to develop a comprehensive approach for improving Indian trust management. Working with the Office of the Special Trustee for American Indians and Bureau of Indian Affairs leadership, the OITT staff developed a set of goals, objectives, and tasks for reforming Indian trust management. This work was based upon statutes, regulations, guiding principles in the *Departmental Manual*, and reports prepared by Electronic Data Systems.

In May 2002, this effort was expanded and a DOI-wide strategic planning team was created that included representatives from national and regional offices of the Office of the Special Trustee for American Indians, Bureau of Indian Affairs, Minerals Management Service, and Bureau of Land Management. From May 2002 through December 2002, the DOI strategic planning team met regularly to review and update the goals and objectives. It also presented them to the Joint DOI/Tribal Leaders Task Force for approval. After several meetings, the task force's subcommittee on planning approved the goals and objectives.

Although the DOI strategic planning team is developing a comprehensive strategy for improving Indian trust management, many of the associated tasks that need to be accomplished have been held in abeyance awaiting completion of the "As-Is" business modeling project. That project is nearing completion with a draft report dated February 14, 2003, having been submitted to Interior for consideration and review.

As a result of the planning effort initiated by the Secretary in January 2002, this final *Comprehensive Trust Management Plan Version 1.0* was developed. It presents a strategic plan to guide the design and implementation of integrated trust reform efforts.[2] As this plan develops new versions will be published.

[1] The term fiduciary trust refers to the trust created by virtue of the United States holding title or control over assets belonging to an American Indian individual or tribe. This is to be distinguished from the general trust responsibility of the United States for Indians, in particular, dealing with appropriated program funds.

[2] This plan is intended to be a DOI working document. It is not intended to, and does not, create any legal right or benefit, substantive or procedural, enforceable by a party against the United States, its agencies, or instrumentalities, its officers or employees, or any other person.

Executive Summary

The Department of the Interior (DOI) is committed to fulfilling its trust responsibilities to American Indians and Alaska Natives effectively and efficiently. It also is committed to providing excellent service to the beneficiaries of that trust. To fulfill its trust responsibilities effectively and efficiently, Interior must have an overall strategic plan to guide the design and implementation of the trust reform efforts. This strategic plan[3] defines and describes the vision, goals, and objectives of trust reform and operating the trust program.

Achieving the goals that are at the heart of the strategic plan will enhance (1) beneficiary services, (2) ownership information, (3) land and natural resources assets, (4) trust fund assets, (5) Indian self-governance and self-determination, and (6) administrative services. The objectives set forth in the strategic plan will define the broad ways in which these goals will be achieved. The strategic plan also considers the trends that influence trust management, the role of relevant stakeholders, and the interaction of Interior agencies. Through examination of the "big picture" of trust management, Interior creates a coordinated and integrated system in which all pieces function as a coherent whole.

Strategic plans are dynamic. Thus, DOI will regularly evaluate and update this plan to ensure its responsiveness to the ongoing needs of Interior's trust operations and to adapt to changing environments.

[3] This plan has been previously referred to as the *Indian Trust Business Plan*. See, for example, *Eleventh Report*, November 1, 2002, at 37-38. More recently it is referred to as the *Comprehensive Trust Management Plan*.

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Chapter 1
Introduction

1.1 THE PLAN

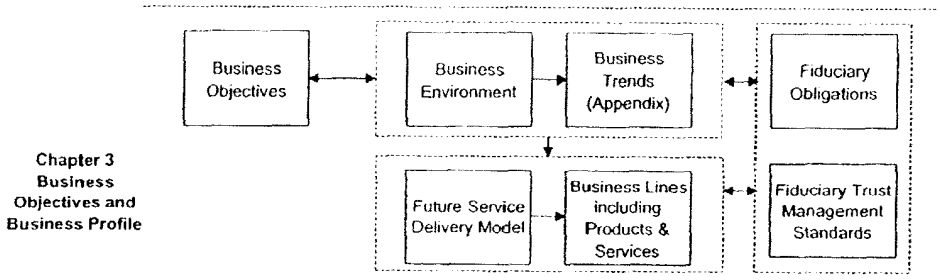
The Department of the Interior (DOI) initiated a comprehensive assessment and planning effort to identify and incorporate project components and actions required to fulfill its trust responsibilities to American Indians and Alaska Natives with respect to Indian trust assets that DOI holds or controls as trustee delegate of the United States.[4] DOI is committed to implementing the actions described in this *Comprehensive Trust Management Plan*.

This plan details the DOI approach for improving performance and accountability in Indian trust management. While progress has been made in many areas, the current state of trust management reform is the product of a series of related projects, initiated by a variety of influences and not yet incorporated into a fully integrated effort.

Based on preliminary information from a major process documentation effort already underway, DOI realizes that it will require a comprehensive and fully integrated modernization effort to reform Indian trust management. As a result, DOI initiated an overarching assessment and project planning effort focused on (1) identifying the project components required to improve trust management and (2) expanding the current trust modernization project plan to incorporate these new project components and supporting activities. The result is an integrated description of comprehensive trust management and the plan for achieving it.

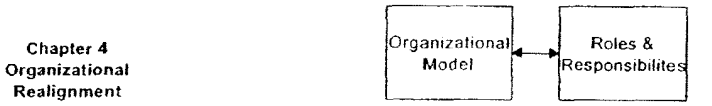
In undertaking this assessment, DOI recognized the need to step back and analyze the current position, direction, and business profile of trust management activities and redefine them as needed to provide a solid foundation for real modernization. As a result, DOI designed a methodology to support analysis and planning followed by execution and measurement to achieve comprehensive trust management and provide effective and efficient services to the beneficiaries. (Figure 1-1).

[4] Defined in the *Department Manual*, 303-Principles for Managing Indian Trust Assets, DM2.5C.



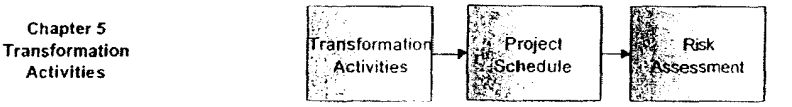
Chapter 4: Organizational Realignment

This chapter presents the organizational redesign needed to support the new service delivery model.



Chapter 5: Transformation Activities

Chapter 5 describes the major implementation activities required for an integrated and comprehensive transformation effort. These activities will govern the expansion and scheduling of current and future transformation initiatives. The breadth and scope of the activities and initiatives requires detailed, continuous implementation planning as the transition unfolds.

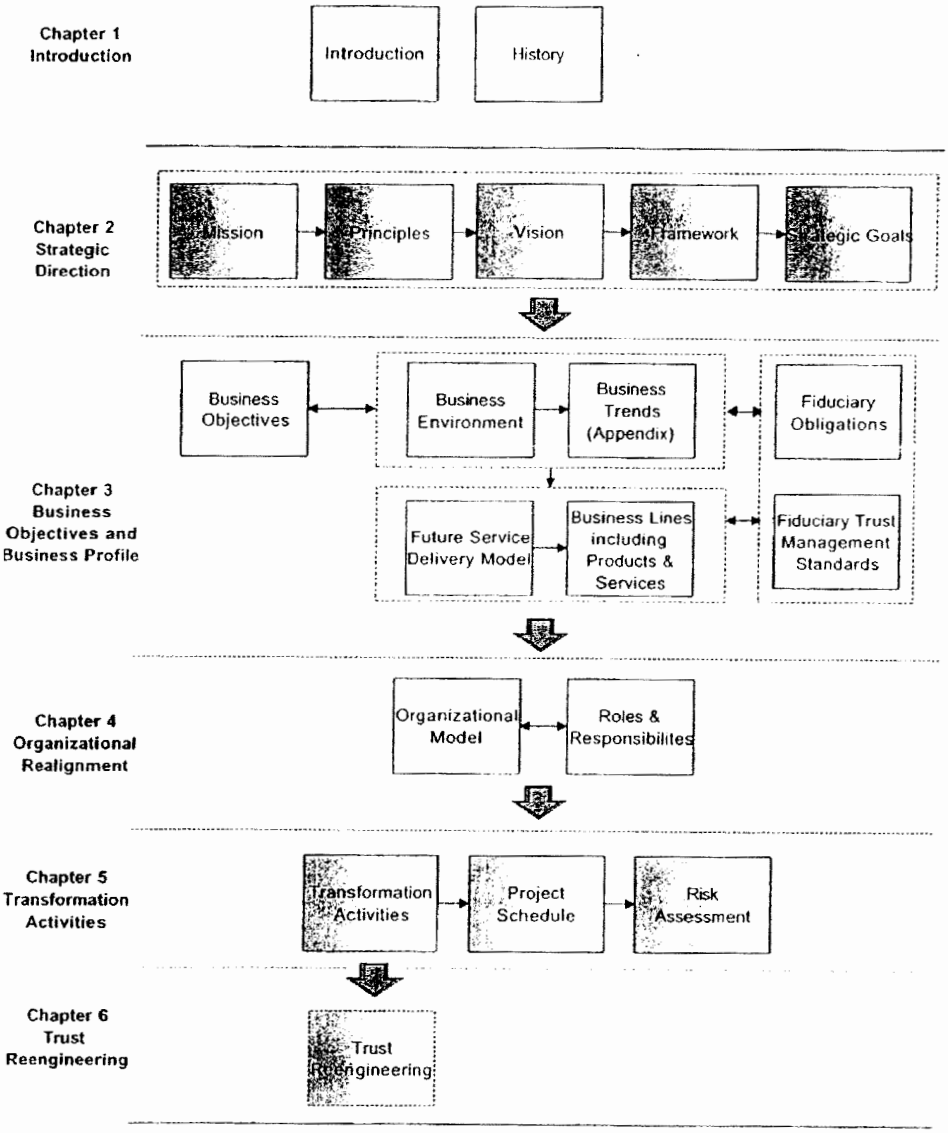


Chapter 6: Trust Reengineering

Chapter 6 reflects one of the transformation activities described in Chapter 5—Trust Reengineering. The "As-Is" modeling efforts are summarized and the major components of the "To-Be" modeling effort are further described.

Figure 1-2 illustrates the specific planning process and structure of this plan.

Figure 1-2. Comprehensive Trust Management Planning Process



1.2 HISTORY

The history of the trust relationship is the foundation for the political, social, legal, and cultural factors that continue to influence current challenges.

Under the General Allotment Act of 1887, the federal government began to parcel out or allot tribal lands to individual members of Indian tribes. This policy, which did not support the traditional role of the tribes, continued into the twentieth century until it was repealed by the Indian Reorganization Act of 1934. The act restored remaining surplus lands to tribal ownership, thus shifting the policy focus away from individual Indians and back to their tribes. The trust period for allotments in existence was "extended and continued until otherwise directed by Congress."

The Indian Self-Determination and Education Assistance Act of 1975, Public Law 93-638, further refined this policy, directing the government to ensure "maximum Indian participation in the direction, planning, conduct, and administration of educational as well as other federal programs and services to Indian communities so as to render such programs and services more responsive to the needs and desires of those communities." The Indian Tribe Self-Governance Amendments of 1994 gave tribes even greater autonomy in the management of federal funds spent on their behalf and their own trust assets.

Because of these shifts of national policy, the operation of the Indian trust on behalf of individual Indian beneficiaries became increasingly complex. The number of heirs to the original allotments ballooned and the size of the individual shares correspondingly shrank, resulting in hundreds of individuals owning those original allotments. To help solve this management problem and others, Congress enacted, among other laws, the American Indian Trust Fund Management Reform Act of 1994 (Reform Act) and the Indian Land Consolidation Act Amendments of 2000.

Congress specifically directed the trustee-delegate, the Secretary of the Interior, to establish, within DOI, the Office of the Special Trustee for American Indians to "oversee and coordinate reforms within the Department." In 1997, the Special Trustee submitted the first comprehensive strategic plan to guide reforms. Although not fully accepted for implementation by then-Secretary Bruce Babbitt, it formed the basis for two subsequent documents: the *High Level Implementation Plan* and *High Level Implementation Plan 2000.*

Having received conflicting information on the state of trust reform, DOI commissioned an independent report by the management-consulting firm Electronic Data Systems (EDS), which concluded that previous reform results were not satisfactory. This report provided opinions why results were not effective and recommended improvements.[5] Litigation in U.S. District Court has

[5] Electronic Data Systems, *DOI Trust Reform, Final Report and Roadmap*, January 24, 2002.

also impacted the Department's administration of Indian trust issues. After review of the EDS report, DOI initiated a planning effort for a more comprehensive approach to trust management beginning in January 2002. In addition, Secretary Norton created two offices, the Office of Indian Trust Transition (OITT) and Office of Historical Trust Accounting (OHTA), to perform two specific tasks: reform and historical accounting. Each is the focal point for attention and resources within its assigned area.

Among the actions underway are (1) the reorganization of Interior trust offices to improve delivery of services, effectiveness, and accountability of trust operations, and (2) the reengineering of Interior's business processes supporting the government's fiduciary Indian trust. The documentation of current processes, or "As-Is" model, is the first step in reengineering them. The next effort will be creating a "To-Be" model, which, when in place, will enable DOI to standardize, integrate and improve beneficiary-focused processes across a majority of components involved with the Indian trust.

DOI has engaged in a wide range of improvement initiatives over many years with varying results. DOI continues to face many challenges to trust reform (Appendix A). Recognizing the need for a more comprehensive approach to trust improvement, DOI moved from the previous *High Level Implementation Plan* to a more integrated and logical progression toward unified trust management. This transition began in 2002 with a strategic planning effort that incorporated work already being done to improve trust management. The resulting strategic plan is documented in the following chapters.

Chapter 2
Strategic Direction

2.1 INTRODUCTION

Comprehensive trust management must be based on a strategic direction that accurately describes the desired future state. As depicted in Figure 2-1, the strategic direction is the first step in the assessment of trust management. It has been formulated through senior-level focus groups to ensure a cohesive, balanced approach. This chapter articulates the direction in a simple framework to ease communication. Subsequent chapters in this plan translate this direction into action.

Figure 2-1. Comprehensive Assessment and Planning Methodology

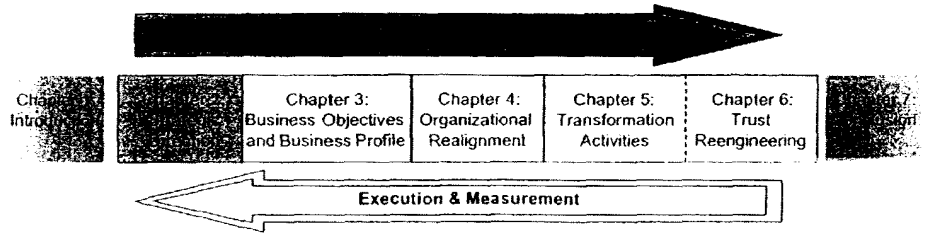
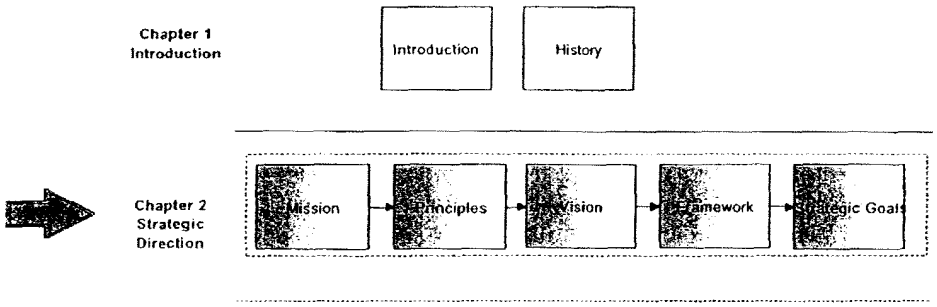


Figure 2-2 shows the roadmap to and core components of this chapter.

Figure 2-2. Roadmap to and Core Components of Chapter 2

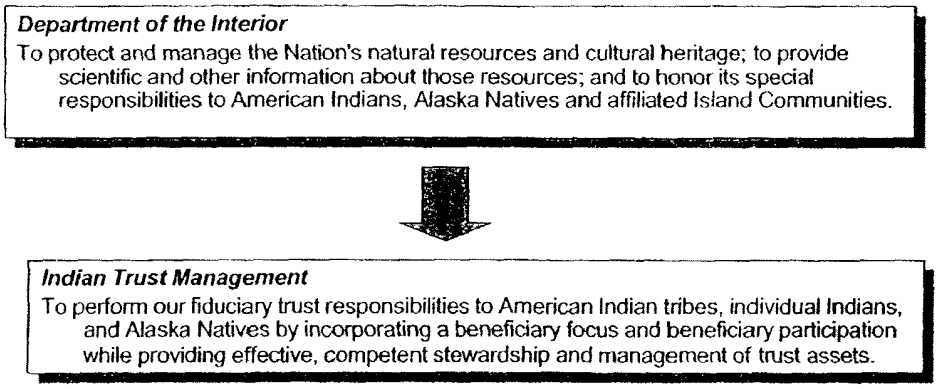


2.2 MISSION

The mission statement defines the core purpose of an organization—why it exists. It captures the contribution and value of the organization. It is the foundation upon which the organization develops its strategic direction.

Figure 2-3 shows that the comprehensive trust management mission flows from the DOI proposed new mission statement.

Figure 2-3. DOI and Comprehensive Trust Management Mission Statements



2.3 PRINCIPLES

Principles reflect underlying values. They further define an organization's operating environment and shape its culture. Just as the mission statement leads an organization toward the intended state, the principles an organization espouses influence decisions made by or on its behalf, and establish norms of behavior for employees at all levels.

The Secretary of the Interior established the following principles as guidance for discharging DOI's trust responsibility:[6]

A. Protect and preserve Indian trust assets from loss, damage, unlawful alienation, waste, and depletion;

B. Assure that any management of Indian trust assets that the Secretary has an obligation to undertake promotes the interest of the beneficiary and supports, to the extent it is consistent with the Secretary's trust responsibility, the beneficiary's intended use of the assets;

C. Enforce the terms of all leases or other agreements that provide for the use of trust assets, and take appropriate steps to remedy trespass on trust or restricted lands;

D. Promote tribal control and self-determination over tribal lands and resources;

E. Select and oversee persons who manage Indian trust assets;

[6] Principles are documented in the *Departmental Manual*, 303 DM2.

F. Confirm that tribes that manage Indian trust assets pursuant to contracts and compacts authorized by the Indian Self-Determination and Education Assistance Act, 25 U.S.C 450, et seq., protect and prudently manage Indian trust assets;

G. Provide oversight and review of the performance of the Secretary's trust responsibility, including Indian trust asset and investment management programs, operational systems, and information systems;

H. Account for and timely identify, collect, deposit, invest, and distribute income due or held on behalf of beneficiaries;

I. Maintain a verifiable system of records that is capable, at a minimum, of identifying: (1) the location, the beneficiary, any legal encumbrances (i.e., leases, permits, etc.), the user of the resource, the rents and monies paid, if any, and the value of trust or restricted lands and resources; (2) dates of collections, deposits, transfers, disbursements, third-party obligations (i.e., court ordered child support, judgments, etc), amount of earnings, investment instruments, and closing of all trust fund accounts; (3) documents pertaining to actions taken to prevent or compensate for any diminishment of the Indian trust assets; and (4) documents that evidence the Department's actions regarding the management and disposition of Indian trust assets;

J. Establish and maintain a system of records that permits beneficiaries to obtain information regarding their Indian trust assets in a timely manner and protect the privacy of such information in accordance with applicable statutes;

K. Invest tribal and individual Indian trust funds to make the trust account reasonably productive for the beneficial owner consistent with market conditions existing at the time the investment is made;

L. Communicate with beneficiaries regarding the management and administration of Indian trust assets; and

M. Protect treaty-based fishing, hunting, gathering, and similar rights of access and resource use on traditional lands.

2.4 VISION

The mission and principles provide trust management leadership with a foundation for executing its responsibilities. The next step is to establish the vision for

trust management. The vision defines the future state for comprehensive trust management when all the modernization activities are complete.

Comprehensive Trust Management Vision Statement

> The Department of the Interior's performance of its fiduciary trust responsibilities will be reliable, successful, and beneficiary focused.

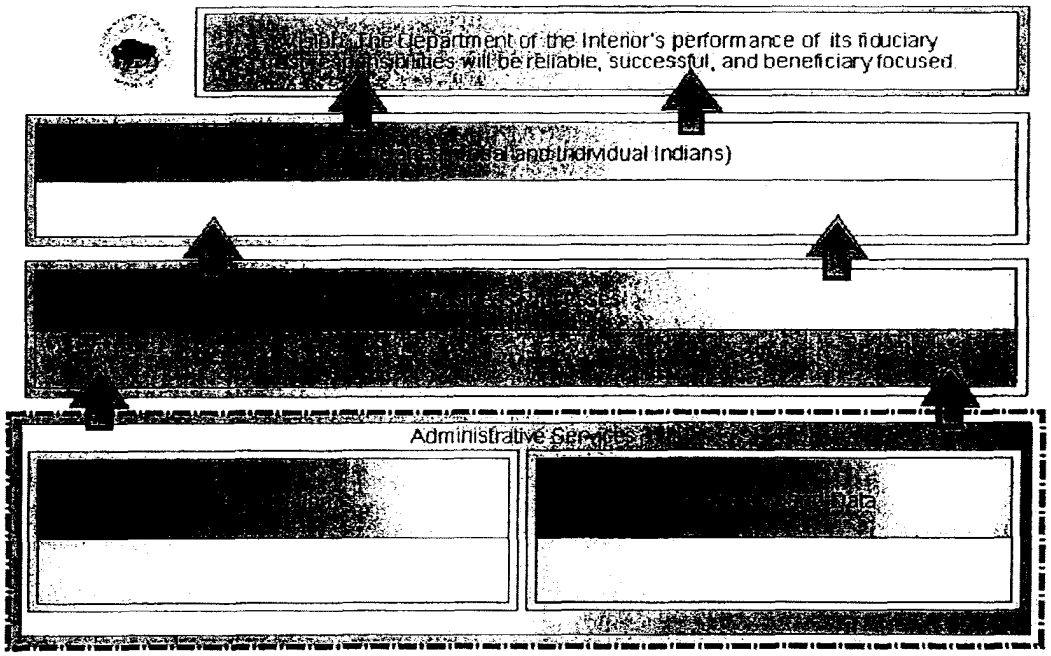
2.5 FRAMEWORK

To fulfill the comprehensive trust management mission and vision, DOI will focus its strategic planning on four areas, which constitute a framework for its efforts:

- *Beneficiaries*
- *Business processes*
- *Organization*
- *Technology and data.*

Figure 2-4 illustrates these four framework areas, which will be used to integrate the strategic direction with the other major elements of the plan.

Figure 2-4. Strategic Framework



2.5.1 Beneficiaries

DOI is committed to taking a more beneficiary-focused approach to its fiduciary responsibilities. DOI must develop a better communication process with beneficiaries regarding the management of their trust assets.

2.5.2 Business Processes

The business processes used to accomplish work greatly influence the manner in which it is performed. Improving work performance requires improving processes. While data availability, staffing limitations, the legal environment, and other factors prescribe and constrain the many interrelated trust management functions and processes, considerable improvement can be achieved. DOI will continue current efforts to improve DOI trust management business processes.

2.5.3 Organization

DOI will establish an organization that empowers and enables people to manage trust activities effectively. The ultimate effectiveness of an organization depends upon the professionalism and credibility of the employees and the manner in which they are organized, motivated, and held accountable. DOI must analyze the workforce to understand how requirements evolve as new technology emerges and processes change. Workloads will change in quantity and nature, and the workforce planning process must anticipate these changes.

2.5.4 Technology and Data

DOI plans to apply technology to the delivery of trust management services. The lack of adequate technological tools severely limits effective performance of DOI's mission. Comprehensive trust management must learn from the past and, in concert with business process reengineering efforts, apply technology to improve processes and beneficiary-focused service delivery systems. This application of technology will require the investment of time and fiscal resources to build a flexible architecture that can accommodate the inevitable evolution of hardware and software.

2.6 STRATEGIC GOALS

After considerable input from internal and external sources, DOI has established six strategic goals, one or more of which supports each framework area:

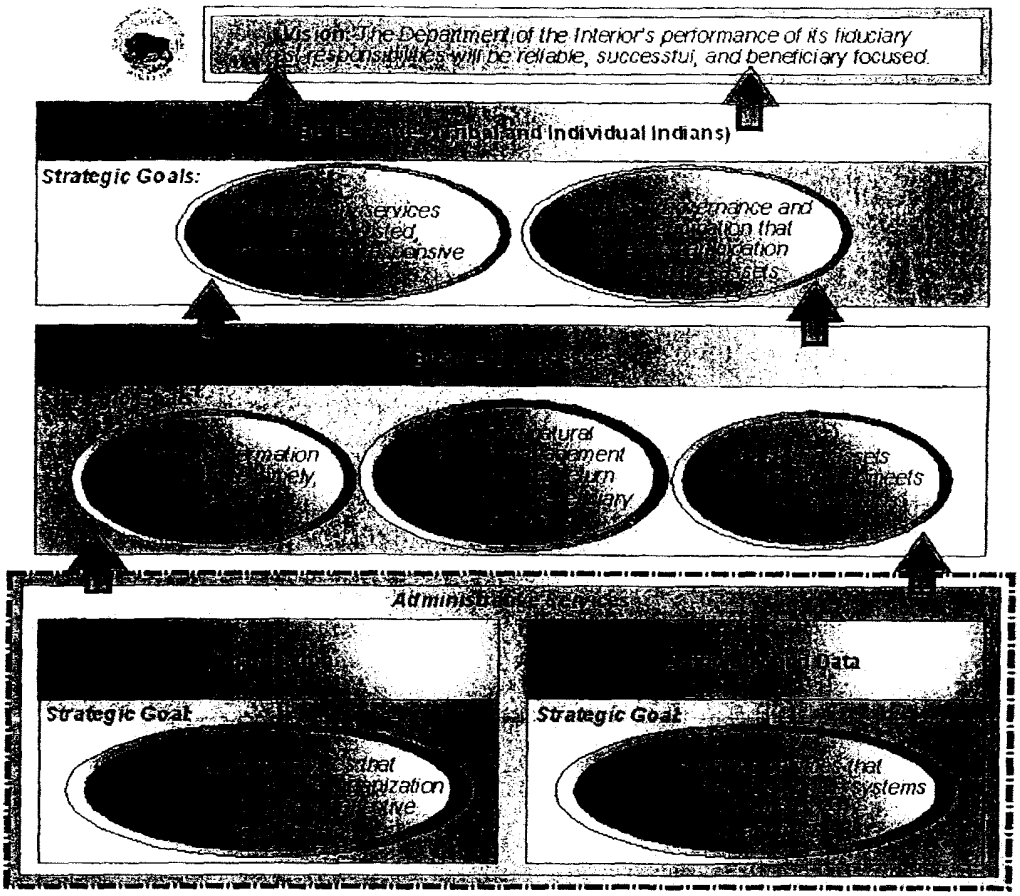
1. Beneficiary services that are trusted, accurate, and responsive
2. Tribal self-governance and self-determination that increase participation in managing assets[7]
3. Ownership information that is accurate, timely, and reliable
4. Land and natural resources management that maximizes return while meeting beneficiary desires.[8]
5. Trust fund assets management that meets fiduciary standards
6. Administrative services that
   A. *enable and empower the organization and workforce to be an effective fiduciary trustee, and*
   B. *provide modern, appropriate systems and tools to manage the fiduciary trust.*

Figure 2-5 displays the relationship between the framework areas and strategic goals.

[7] The level of participation may be constrained by Tribal preferences.

[8] The return on investment may be constrained by beneficiary preferences, or other factors (e.g. fractionation, Indian policy, etc.).

Figure 2-5. Framework Areas and Strategic Goals



This figure graphically shows the strategic direction for comprehensive trust management. As the processes become more efficient and effective, they will provide the beneficiaries with improved trust services.

2.7 TRANSITION TO CHAPTER 3

With the strategic direction mapped out and communicated through the strategic goals, more detailed information is required to guide the modernization effort. Chapter 3 describes business objectives that build on the strategic goals and provide the detail needed to define the organization, measure performance, and plan the implementation. The business objectives are accompanied by a business profile showing the service delivery model and business lines.

Chapter 3
Business Objectives and Business Profile

3.1 INTRODUCTION

Chapter 2 describes the strategic direction but does not provide the specifics necessary to complete a detailed assessment or expand project planning. As depicted in Figure 3-1, this chapter identifies business objectives to achieve the strategic goals. It then summarizes the business profile, identifies the business lines, and lays the foundation for the new mode of operations as defined by the business environment model and the service delivery model. Figure 3-2 shows how this chapter is organized.

Figure 3-1. Comprehensive Assessment and Planning Methodology

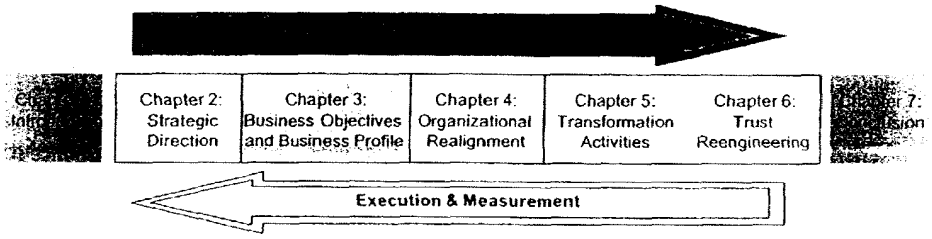
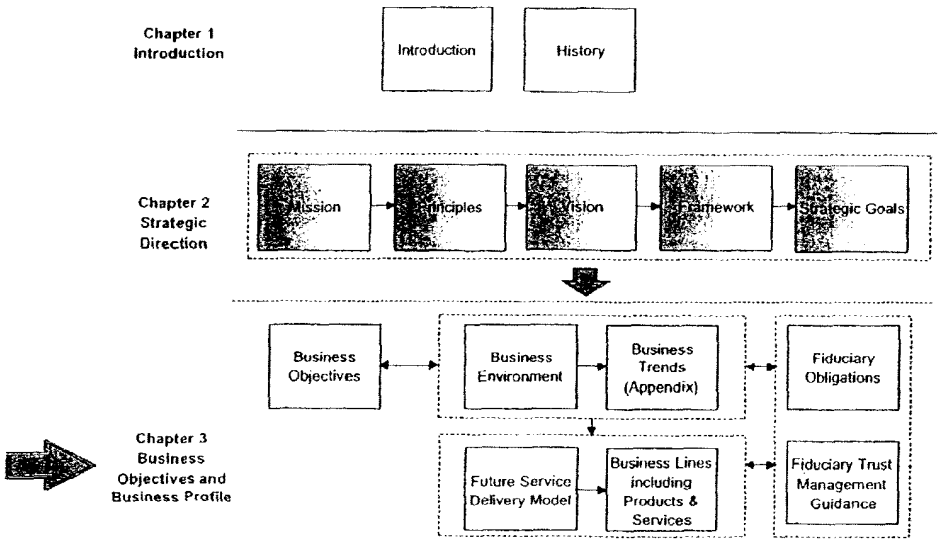


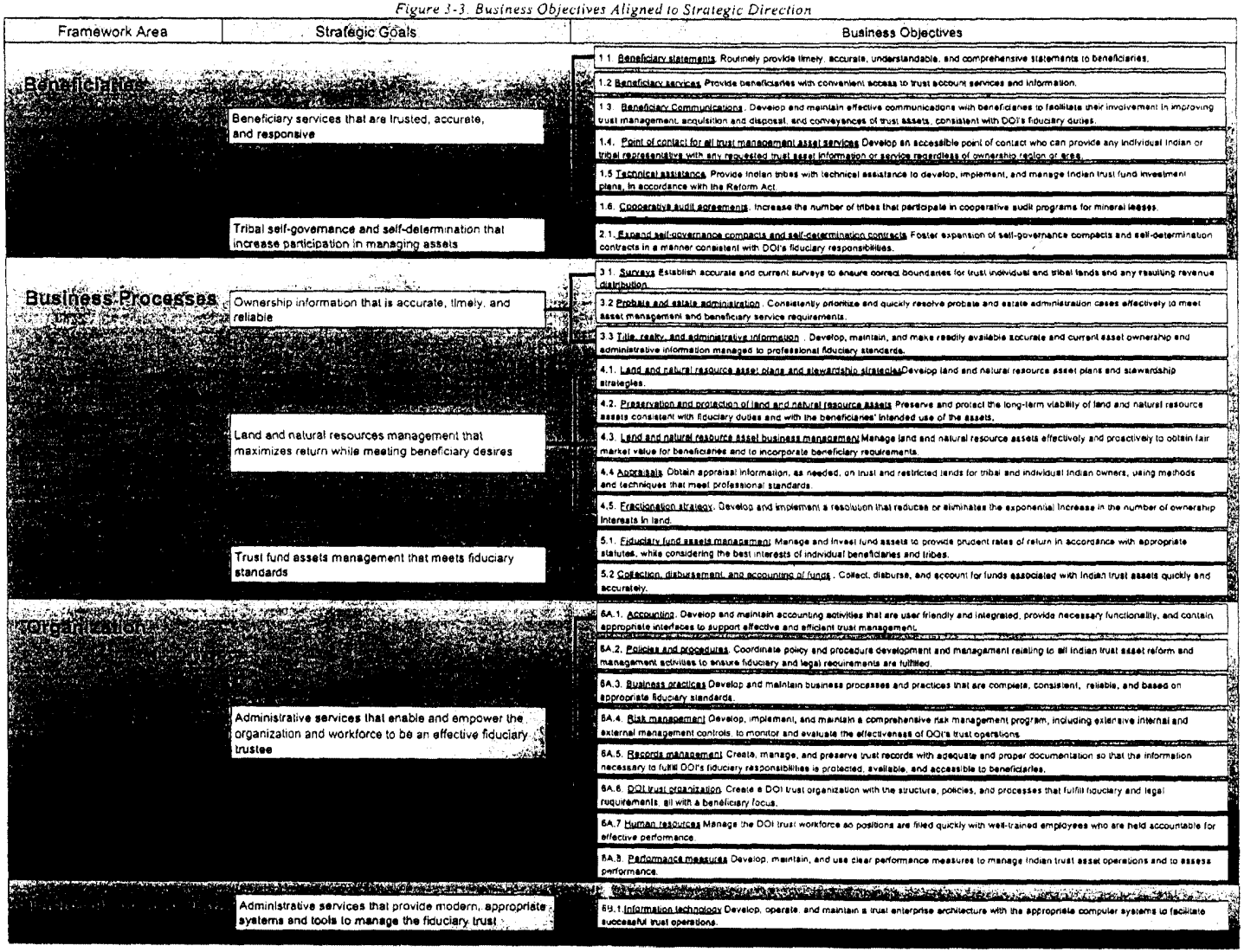
Figure 3-2. Roadmap to and Core Components of Chapter 3



3.2 BUSINESS OBJECTIVES

The trust management business objectives, when successfully reached, achieve comprehensive trust management's strategic goals as defined in Chapter 2 and fulfill fiduciary obligations. This alignment of the strategic goals and business objectives articulates DOI's overall fiduciary trust business plan for managing and reforming its trust operations. Figure 3-3 displays the alignment of the strategic goals and business objectives within the four framework areas.

Figure 3-3. Business Objectives Aligned to Strategic Direction



The business objectives are defined in the following subsections. They are categorized according to the corresponding strategic goals within each of the four framework areas: beneficiaries, business processes, organization, and technology and data as introduced in Chapter 2. A few of the objectives are furthered defined by subobjectives.

3.2.1 Framework Area: Beneficiaries

STRATEGIC GOAL 1: BENEFICIARY SERVICES THAT ARE TRUSTED, ACCURATE, AND RESPONSIVE

BUSINESS OBJECTIVE 1.1: BENEFICIARY STATEMENTS

Routinely provide timely, accurate, understandable, and comprehensive statements to beneficiaries.

BUSINESS OBJECTIVE 1.2: BENEFICIARY SERVICES

Provide beneficiaries with convenient access to trust account services and information.

BUSINESS OBJECTIVE 1.3: BENEFICIARY COMMUNICATIONS

Develop and maintain effective communications with beneficiaries to facilitate their involvement in improving trust management, acquisition and disposal, and conveyances of trust assets, consistent with DOI's fiduciary duties.

BUSINESS OBJECTIVE 1.4: POINT OF CONTACT FOR ALL TRUST MANAGEMENT ASSET SERVICES

Develop an accessible point of contact who can provide any individual Indian or tribal representative with any requested trust management asset information or service regardless of ownership region or area.

BUSINESS OBJECTIVE 1.5: TECHNICAL ASSISTANCE

Provide Indian tribes with technical assistance to develop, implement, and manage Indian trust fund investment plans, in accordance with the Reform Act.

BUSINESS OBJECTIVE 1.6: COOPERATIVE AUDIT AGREEMENTS

Increase the number of tribes that participate in cooperative audit agreement programs for mineral leases.[9]

[9] The level of participation may be constrained by Tribal preferences.

STRATEGIC GOAL 2: TRIBAL SELF-GOVERNANCE AND SELF-DETERMINATION THAT INCREASE PARTICIPATION IN MANAGING ASSETS

BUSINESS OBJECTIVE 2.1: EXPAND SELF-GOVERNANCE COMPACTS AND SELF-DETERMINATION CONTRACTS

Foster expansion of self-governance compacts and self-determination contracts in a manner consistent with DOI's fiduciary responsibilities.

3.2.2 Framework Area: Business Processes

STRATEGIC GOAL 3: OWNERSHIP INFORMATION THAT IS ACCURATE, TIMELY, AND RELIABLE

BUSINESS OBJECTIVE 3.1: SURVEYS

Establish accurate and current surveys to ensure correct boundaries for trust individual and tribal lands and any resulting revenue distribution.

BUSINESS OBJECTIVE 3.2: PROBATE AND ESTATE ADMINISTRATION

Consistently prioritize and quickly resolve probate and estate administration cases effectively to meet asset management and beneficiary service requirements.

BUSINESS OBJECTIVE 3.3: TITLE, REALTY, AND ADMINISTRATIVE INFORMATION

Develop, maintain, and make readily available accurate and current asset ownership and administrative information that is managed to professional fiduciary standards.

STRATEGIC GOAL 4: LAND AND NATURAL RESOURCES MANAGEMENT THAT MAXIMIZES RETURN WHILE MEETING BENEFICIARY DESIRES

BUSINESS OBJECTIVE 4.1: LAND AND NATURAL RESOURCE ASSET PLANS AND STEWARDSHIP STRATEGIES

Develop land and natural resource asset plans and stewardship strategies.

BUSINESS OBJECTIVE 4.2: PRESERVATION AND PROTECTION OF LAND AND NATURAL RESOURCE ASSETS

Preserve and protect the long-term viability of land and natural resource assets consistent with fiduciary duties and with the beneficiaries' intended use of the assets.

BUSINESS OBJECTIVE 4.3: LAND AND NATURAL RESOURCE ASSET BUSINESS MANAGEMENT

Manage land and natural resource assets effectively and proactively to obtain fair market value for beneficiaries and to incorporate beneficiary requirements.

BUSINESS OBJECTIVE 4.4: APPRAISALS

Obtain appraisal information, as needed, on trust and restricted lands for tribal and individual Indian owners, using methods and techniques that meet professional standards.

BUSINESS OBJECTIVE 4.5: FRACTIONATION STRATEGY

Develop and implement a resolution that reduces or eliminates the exponential increase in the number of ownership interests in land.

STRATEGIC GOAL 5: TRUST FUND ASSETS MANAGEMENT THAT MEETS FIDUCIARY STANDARDS

BUSINESS OBJECTIVE 5.1: FIDUCIARY FUND ASSET MANAGEMENT

Manage and invest fund assets to provide prudent rates of return in accordance with appropriate statutes, while considering the best interests of individual beneficiaries and tribes.

BUSINESS OBJECTIVE 5.2: COLLECTION, DISBURSEMENT, AND ACCOUNTING OF FUNDS

Collect, disburse, and account for funds associated with Indian trust assets quickly and accurately.

3.2.3 Framework Area: Organization

STRATEGIC GOAL 6A: ADMINISTRATIVE SERVICES THAT ENABLE AND EMPOWER THE ORGANIZATION AND WORKFORCE TO BE AN EFFECTIVE FIDUCIARY TRUSTEE

BUSINESS OBJECTIVE 6A.1: ACCOUNTING

Develop and maintain accounting activities that are user friendly and integrated, provide necessary functionality, and contain appropriate interfaces to support effective and efficient trust management.

BUSINESS OBJECTIVE 6A.2: POLICIES AND PROCEDURES

Coordinate policy and procedure development and management relating to all Indian trust asset reform and management activities to ensure fiduciary and legal requirements are fulfilled.

BUSINESS OBJECTIVE 6A.3: BUSINESS PRACTICES

Develop and maintain business processes and practices that are complete, consistent, reliable, and based on appropriate fiduciary standards.

BUSINESS OBJECTIVE 6A.4: RISK MANAGEMENT

Develop, implement, and maintain a comprehensive risk management program, including extensive internal and external management controls, to monitor and evaluate the effectiveness of DOI's trust operations.

BUSINESS OBJECTIVE 6A.5: RECORDS MANAGEMENT

Create, manage, and preserve trust records with adequate and proper documentation so that the information necessary to fulfill DOI's fiduciary responsibilities is protected, available, and accessible to beneficiaries.

BUSINESS OBJECTIVE 6A.6: DOI TRUST ORGANIZATION

Create a DOI trust organization with the structure, policies, and processes that fulfill fiduciary and legal requirements, all with a beneficiary focus.

Sub-Objective 6A.6.1: Fiduciary Duty Focus and Strategy

Develop a fiduciary duty focus and strategy for trust management.

Sub-Objective 6A.6.2: Consolidation and Accountability

Consolidate DOI Indian trust asset responsibilities into an organization accountable for executing, maintaining, and managing fiduciary trust activities.

Sub-Objective 6A.6.3: Trust Processes

Benchmark and improve DOI trust processes and apply appropriate standards.

Sub-Objective 6A.6.4: Activity-Based Costing

Develop an activity-based costing model for implementing trust enterprise business plan objectives.

BUSINESS OBJECTIVE 6A.7: HUMAN RESOURCES

Manage the DOI trust workforce so positions are filled quickly with well-trained employees who are held accountable for effective performance.

Sub-Objective 6A.7.1: Workforce Planning

Prepare organizational workforce plans that are focused on staffing, recruitment, retention, and retirement forecasting, and develop associated infrastructure.

Sub-Objective 6A.7.2: Workforce Training

Develop a comprehensive and coordinated DOI trust asset management training program.

BUSINESS OBJECTIVE 6A.8: PERFORMANCE MEASURES

Develop, maintain, and use clear performance measures to manage Indian trust asset operations and to assess performance.

3.2.4 Framework Area: Technology and Data

STRATEGIC GOAL 6B: ADMINISTRATIVE SERVICES THAT PROVIDE MODERN, APPROPRIATE SYSTEMS AND TOOLS TO MANAGE THE FIDUCIARY TRUST

BUSINESS OBJECTIVE 6B.1: INFORMATION TECHNOLOGY

Develop, operate, and maintain a trust enterprise architecture with the appropriate computer systems to facilitate successful trust operations.

Sub-Objective 6B.1.1: Trust Enterprise Architecture

Develop a comprehensive trust enterprise architecture.

Sub-Objective 6B.1.2: A-130 Compliance

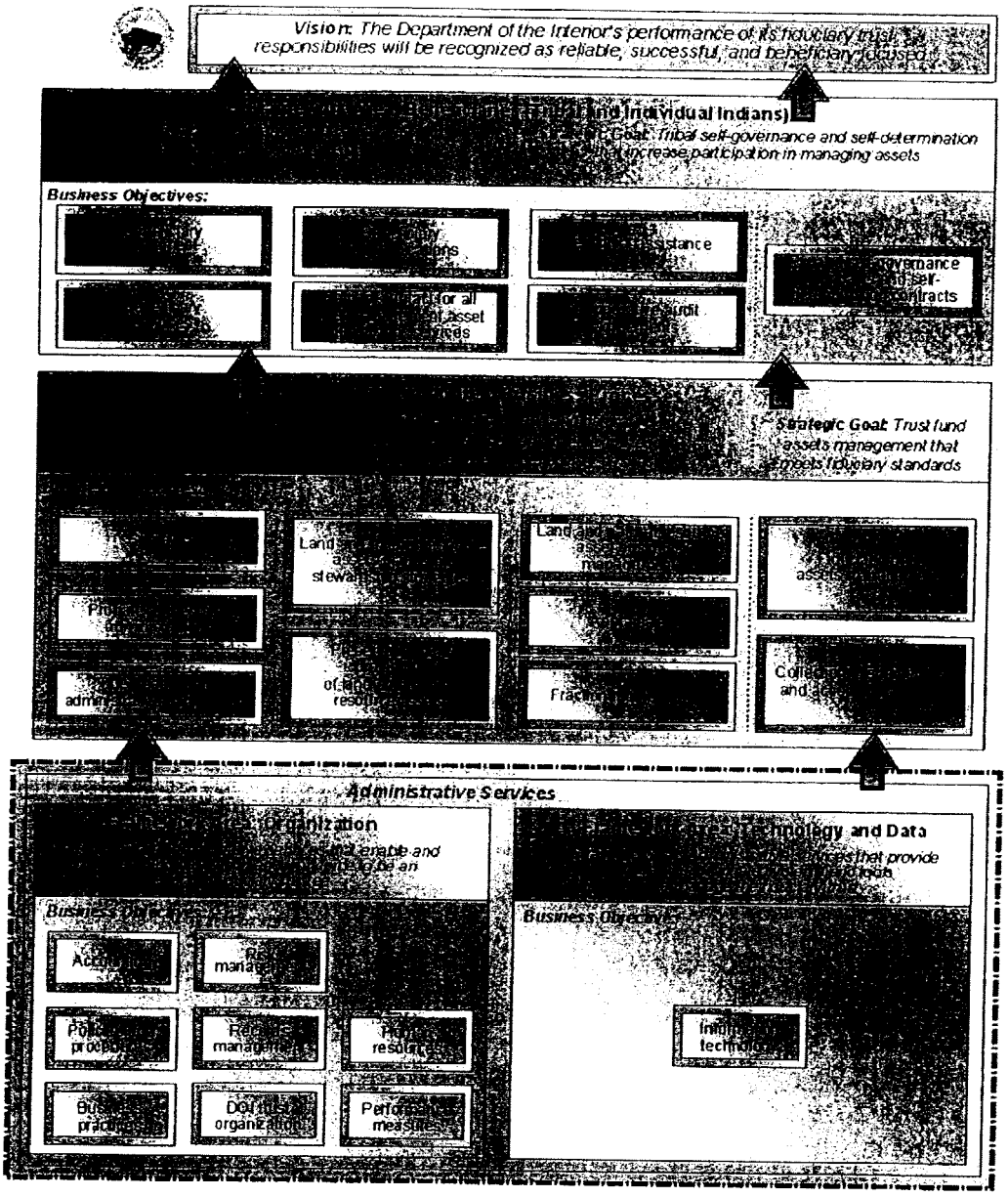
Fully comply with applicable requirements in the Office of Management and Budget (OMB) Circular No. A-130.

Sub-Objective 6B.1.3: Data and Systems Security

Develop and implement data and systems security procedures.

The realization of these business objectives leads to the achievement of the strategic goals. Figure 3-4 illustrates the alignment of the business objectives within the framework areas.

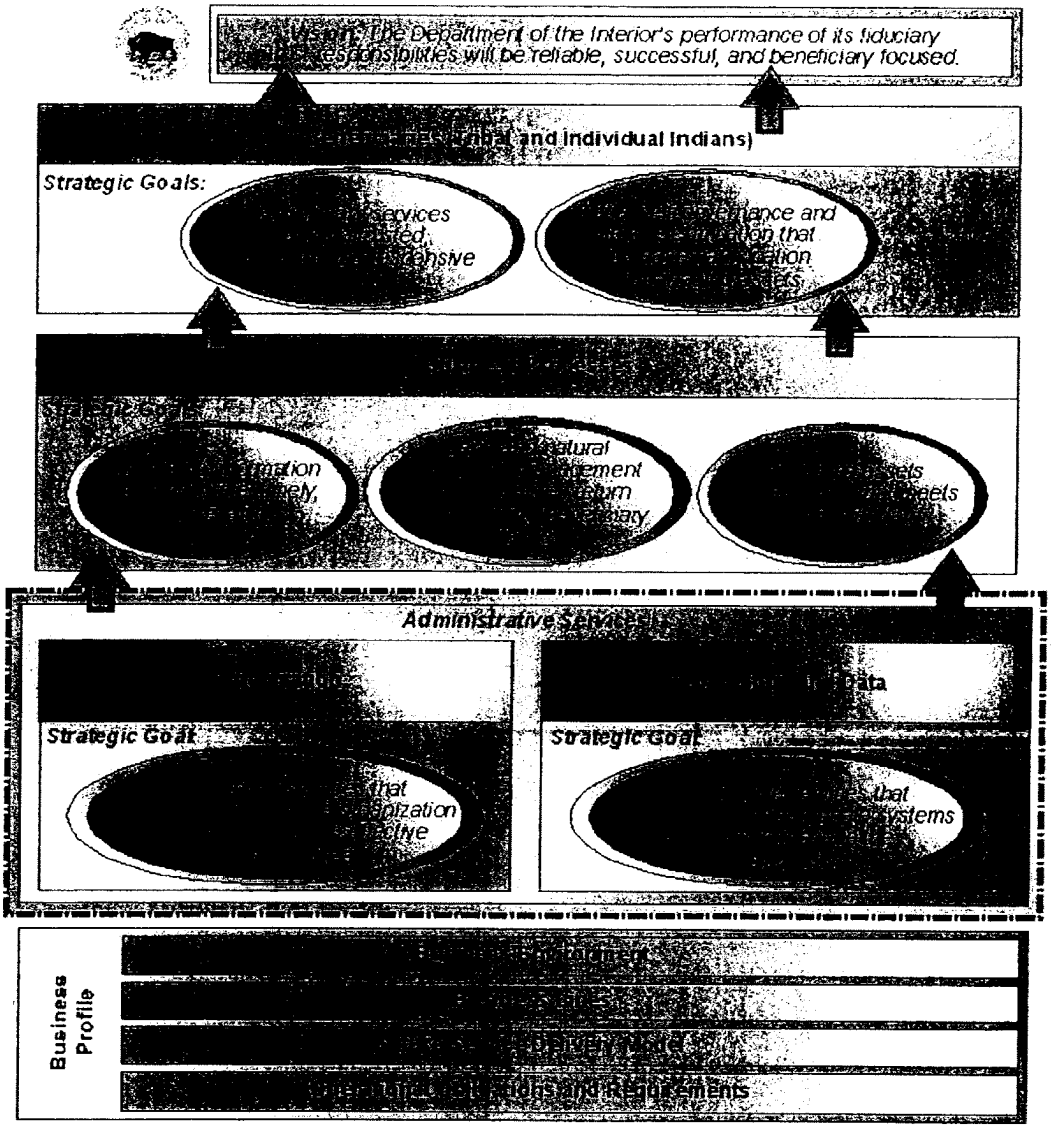
Figure 3-4. Alignment of Business Objectives with Framework Areas



The rest of this chapter addresses the business profile, the foundation on which the business objectives are executed and operated. The four components of the business profile are as follows:

- *Business environment* (Section 3-3), the stakeholders and how they interact to fulfill DOI's trust management responsibilities and achieve the strategic goals and business objectives

Figure 3-5. Business Profile as Foundation of Strategic Framework



3.3 BUSINESS ENVIRONMENT

Now that the business objectives have been identified (Figure 3-3), the next step is to identify who is involved in achieving these objectives. DOI identified key stakeholders involved in providing trust management services. An active, productive, and cooperative partnership with the beneficiaries and the identified key stakeholders is an underlying element of the design and execution of the modernization effort.

Figure 3-6 shows these key stakeholders and identifies how they interact to fulfill DOI's trust management responsibilities. Success depends upon their continued involvement as DOI transitions toward the vision and achieves the strategic goals defined in Chapter 2. Each box in Figure 3-6 represents a key stakeholder, and each arrow defines continued consultation between and among stakeholders through exchange of ideas, information, and services as necessary for successful Indian trust management.

Figure 3-6. Trust Management Business Environment

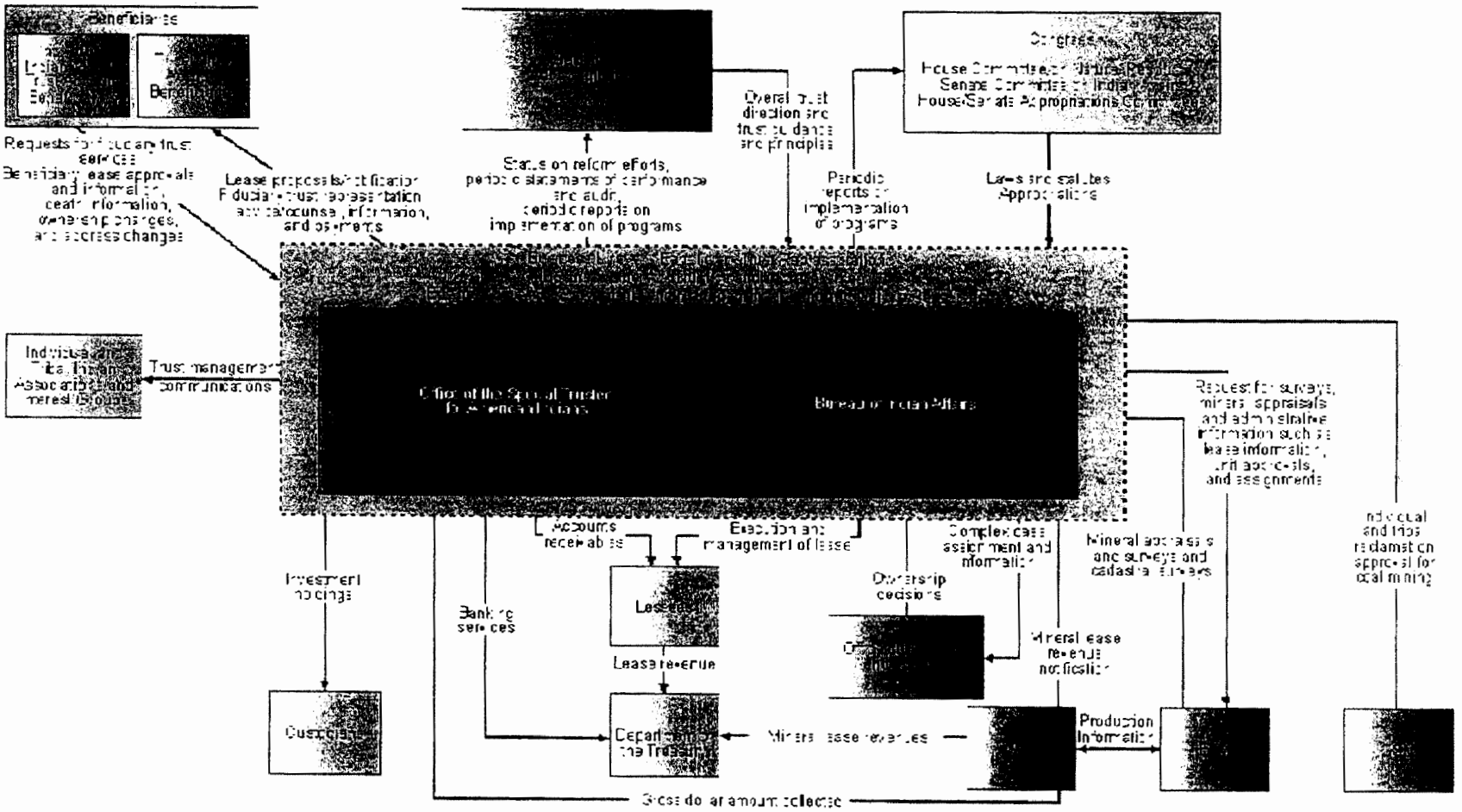


Table 3-1 further defines the future relationship of each stakeholder to trust management as identified on the business environment chart (Figure 3-6).

Table 3-1. Stakeholders' Future Relationship to Trust Management

Stakeholder	Role as identified in the business environment model
Trustee: Congress	Congress enacts statutes and provides funding. Through the 1994 Reform Act, it established standards for trust management. It receives periodic reports on the implementation of trust management programs.
Trustee Designate: Office of the Secretary	The Secretary provides overall trust direction and principles. The Secretary receives status updates on reform efforts and reports on implementation of programs.
Beneficiaries	Beneficiaries request fiduciary trust services and receive fiduciary trust representation, advice and counsel, information, and payments. They provide lease approvals and information, such as address changes, ownership changes, and family updates.
Custodians	Custodians are financial institutions that settle trades, collect income, and hold securities.
Department of the Treasury	Treasury provides financial services. Lease revenues are submitted to Treasury through various DOI agencies, including MMS, BIA, OST, and tribes under compact and contract.
Lessees	Lessees lease Indian lands. BIA executes and manages the leases. OST accounts for, invests, and disburses income from leases. Funds are held in Treasury.
Office of the Solicitor	Office of the Solicitor provides legal counsel to DOI agencies and participates in probate for members of the Five Civilized Tribes.
Office of the Special Trustee for American Indians (OST)	OST provides financial management and disbursement, beneficiary trust services, and representation for individual Indians and Indian tribes. OST oversees DOI performance of trust management.
Bureau of Indian Affairs (BIA)	BIA provides stewardship and management of land and natural resources for individual Indians and Indian tribes. BIA handles small, noncomplex probate cases internally. BIA also maintains land title ownership information.
Minerals Management Service (MMS)	MMS collects and verifies mineral lease revenue and performs mineral compliance audits. It deposits revenue with the Federal Reserve Bank and posts the data with Treasury, notifies OST for investment purposes, and provides lease-level data to BIA to convert to individual and/or tribal ownership information and ultimate disbursement to beneficiaries.
Bureau of Land Management (BLM)	BLM conducts and submits mineral appraisals, leasing compliance, and contracts for cadastral surveys to BIA as required by law.
Office of Hearings and Appeals (OHA)	Complex probate cases go to OHA for an order determining heirs and distribution. When a decision is final, estate distribution involving ownership information is forwarded to BIA.

Table 3-1. Stakeholders' Future Relationship to Trust Management (Continued)

Stakeholder	Role as identified in the business environment model
Office of Surface Mining (OSM)	OSM directly regulates all coal mining and reclamation operations on Indian lands under the Indian Land Program Regulations. As the regulatory authority, OSM reviews and approves mining permits and conducts inspection and enforcement activities on Indian lands.
State Counties Cities Taxpayers	State, counties, and cities review and comment on trust land acquisition. Trust land within their jurisdictions impacts them through changes to the tax base and law enforcement jurisdiction.
Individual and tribal Indian associations and interest groups	The associations and interest groups provide insight to Indian requirements, needs, and expectations. DOI maintains public relations with associations, interest groups, and lobbyists to foster communication with the beneficiaries.

3.4 BUSINESS LINES

Distinct business lines, which provide the basis for developing the organizational structure, can be derived from the service delivery model. The three distinct business lines are as follows:

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.