

Trust Management Improvement Project

Quarterly Status Report to the Court Number Five

For the Period
November 1, 2000 to January 31, 2001



February 28, 2001

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Introduction

The Court's Order. In the matter of *Cobell v. Norton* (formerly *Cobell v. Babbitt*), the United States District Court for the District of Columbia on December 21, 1999, ordered the Department of the Interior ("DOI" or "Department") to submit quarterly reports on actions taken to correct problems identified by the Court that relate to the Federal government's statutory trust responsibility to individual Indians.

Quarterly Status Report Format. This is the fifth status report submitted pursuant to the Court's Order. This report documents improvements to two major subject areas: 1) actions and changes pertaining to the February 29, 2000, Revised and Updated High Level Implementation Plan (HLIP) that have occurred since the end of the reporting period of the *Fourth Quarterly Report*, and 2) steps taken by the DOI to rectify Court-declared breaches of trust.

The *Fifth Quarterly Report* covers the reporting period of November 1, 2000, through January 31, 2001. This report is identical in format to the *Fourth Quarterly Report* and is organized to follow the order of the HLIP, subproject by subproject. Information on the ten active HLIP subprojects is followed by information on each of the four projects that address areas identified by the Court as breaches of the trust responsibility. Each chapter contains a summary of the problem the subproject addresses (as stated in the HLIP), action taken to complete the specific project milestones due during the reporting period, information on significant ongoing activities, and an updated Milestone Chart indicating the current status of all project milestones.

For context and reference, the Milestone Chart for each subproject immediately follows the discussion of that subproject. To accurately reflect the overall progress of each project, the Milestone Charts now include a history of milestone date changes. Milestones that are scheduled to be completed or have had changes made during this reporting period are shaded in the Milestone Chart. As established previously, the Records Retention breach report appears under the HLIP Records Management Chapter, with an appropriate cross-reference.

Fifth Quarterly Report Highlights. The progress on the High Level Implementation Plan subprojects is well documented later in this report. Some of the highlights, including non-HLIP related events, occurring in this reporting cycle are:

- Final regulations were published on January 22, 2001 for Leases and Permits on Indian Lands, Trust Funds for Tribes and Individual Indians, Grazing Permits on Indian Lands and Indian Probates. Along with meeting other longstanding needs, these regulations will permit standards of uniformity for trust administration. The Special Trustee and the Bureau of Indian Affairs (BIA) have requested the Department's support to waive, for these regulations, the 60-day extension of the regulations effective date ordered by the Administration on January 20, 2001. Thus far, the regulations have not been extended, and will be effective on March 23, 2001.
- Effective December 29, 2000, the land title portion of Trust Asset and Accounting Management System (TAAMS) was made the system of record for the Rocky Mountain, Southern Plains, Eastern Oklahoma and Alaska Regions.

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- The Risk Management Program Handbook was published November 30, 2000.
- The non-systems training program for Departmental and Tribal trust asset management employees began and the first classroom course, Trust Foundations 1, has been initiated in locations across the country.

The Revised High Level Implementation Plan. The revised HLIP, as amended by the Quarterly Status Reports, contains some 254 milestones directed towards the accomplishment of trust improvement projects. As of January 31, 2001, a cumulative total of 182 milestones have been completed, including 14 milestones completed during this reporting period. Of the remaining 72 milestones, 23 are designated as ongoing and will continue throughout the life of the HLIP.

Seven milestones were not completed by the scheduled date during this reporting period. However, as explained below, three of those were completed after a short delay. A full description of the impact and reasons for the missed dates is detailed in the applicable HLIP subproject chapters.

Fifth Quarterly Report HLIP Milestones Due			
HLIP Project	Due	Completed	Not Completed
1. OST Data Cleanup	2	2	
2. BIA Data Cleanup	0		
3. Probate	4	3 (1)	1
4. BIA Appraisals	2		2
6. TAAMS	0		
7. MMS Reengineering	1	1	
8. Records Management	2	2 (1)	
9. Trust Policies and Procedures	4	3 (1)	1
10. Training	0		
11. Internal Controls	3	3	
HLIP Project Total	18	14	4

(1) The same milestone activity, the publication of final trust regulations, was due in each of these projects by December 31, 2000. The milestone was actually met three weeks late, when the regulations were published on January 22, 2001. The delay is not expected to have any adverse impact on the projects.

Court-Identified Breach Projects. The Department of the Interior's February 2000 plans to address Court-identified breaches of statutory trust duties under the *American Indian Trust Fund Management Reform Act of 1994* include a total of 46 milestone tasks, of which a cumulative total of 27 have been completed by the end of the reporting period. This figure includes two milestones that were completed during this reporting period. Previous *Quarterly Report* tallies of milestones due included milestones for the Records Retention breach separate from the milestones in the Records Management chapter. This report and future reports will only count milestones in the Records Management chapter.

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One milestone was not completed on the scheduled date during this reporting period. A full description of the impact and reasons for the missed date is detailed in the applicable Breach project.

Fifth Quarterly Report Breach Milestones Due			
Breach Project	Due	Completed	Not Completed
1. Collection of Missing Information	0		
3. Computer Architecture	2	2	
4. Workforce Planning	1		1
Breaches Total	3	2	1

Changes and Corrections to the HLIP. There are several changes to Milestone Charts throughout this report. These changes reflect revised completion dates, both for missed milestones and future milestones based on a current evaluation of the milestone progress. *The Special Trustee has approved the milestone changes, which are more fully discussed in the relevant chapters.*

SPECIAL TRUSTEE OBSERVATIONS

The Department, with the oversight of the Special Trustee, is reinforcing the efforts underway to ensure that it fully meets its trust responsibilities and commitments to the Court. Accordingly, funding allocation decisions continue to be based on well-developed project plans, strong execution and metrics.

The Special Trustee offers the following observations on critical aspects of the trust improvement projects currently underway and described in this *Fifth Quarterly Report*.

General Observations

- ✓ As mentioned in the *Fourth Quarterly Report*, time spent on responses required for the *Cobell* litigation continues to adversely impact the time and energies of the Special Trustee, and the BIA and the Office of the Special Trustee for American Indians (OST) managers who are all the principal directors of trust reform. In particular, managers in the Office of Trust Records are currently being deflected from trust record reform by the pending investigation by the Special Master.
- ✓ To more accurately reflect a project's progress, milestone charts for each subproject will now note the history of milestone date changes.

Specific Observations

BIA Data Cleanup

- ✓ Data cleanup progress has been provided in chart form in Appendix B of this report to provide a more user-friendly representation of the project.

Probate

- ✓ Analysis of the data collected in the Youpee pilot project, which was completed in September 2000, has not yet been finished. Because of the vast scope and timeframe involved in bringing this project to closure, strong planning and additional milestones will be required to chart and measure future progress, as well as to measure the impact on the financial accounting workload of the Office of Trust Funds Management (OTFM).

TAAMS

- ✓ Effective December 29, 2000, the *land title* portion of TAAMS was made the system of record (meaning that it was officially designated the system for the recordation and maintenance of Indian title documents reflecting current ownership) for current title processing in four BIA Regions: Alaska, Eastern Oklahoma, Rocky Mountain, and Southern Plains. The title history data is not yet complete.
- ✓ The Trust Management Improvement Project Steering Committee has determined that the TAAMS *realty* module will be available for Steering Committee approval for the Rocky Mountain Region by May 31, 2001. The BIA has assigned key managers on a full-time basis to augment this effort. A

detailed timeline for the development, testing and deployment of this TAAMS module in the Rocky Mountain Region is included in the TAAMS chapter.

- ✓ The Special Trustee has requested that a schedule for the deployment of the title and realty portions of TAAMS to the other BIA regions be developed as soon as possible and include appropriate milestones.
- ✓ The Special Trustee is concerned that enough project managers may not be available within the BIA to be dedicated to the intensive TAAMS project and to sustain its implementation beyond the Rocky Mountain Region. The Special Trustee is reviewing this issue with BIA senior management.
- ✓ The interface capability between TAAMS, TFAS and MMS will need to be completed by mid-April to permit ample time for user acceptance testing. End-to-end testing of the TAAMS system, including inter-system interfaces, will be required to examine the full range of software, data and business process issues. The successful comprehensive testing of the interfaces needs to occur in a timely manner to ensure proper integration and an independent verification of the interface viability is required.

Records Management

- ✓ The Special Trustee and the Deputy Commissioner for Indian Affairs recently sent letters to the Tribal leaders of the Oglala Sioux Tribe, the Standing Rock Sioux Tribe, and the Confederated Tribes of the Umatilla Indian Reservation. These letters again requested that each Tribe approve the transfer of IIM account holder jacket folders, which are federal property, to OST in Albuquerque to ensure their accuracy and for the efficient use and preservation of these trust records. A response from each Tribe has been requested by February 28, 2001. If a satisfactory solution has not been determined shortly thereafter, the Department will notify the Court of this barrier to the Trustee's exercise of proper trust responsibility.

Trust Regulations

- ✓ Two important portions of the proposed trust reform regulations, relating to commercial leasing and trust fund accounts were not included in the final rules published January 22, 2001. The enactment of the *Indian Lands Consolidation Act Amendments of 2000* after the close of the comment period, and the public and Tribal comments received during the comment period, resulted in the BIA refraining from finalizing these subparts until more review, revisions and consultations could be conducted. The BIA intends to propose new regulations in these areas. A timeline for this effort is being prepared for the Special Trustee.
- ✓ The creation of a procedural "handbook" of business rules and practices for the administration of Tribal and of IIM trusts must be taken to its conclusion promptly following the effective date of the above mentioned trust reform regulations. Such guidelines are necessary for the successful coordination between the TAAMS and TFAS systems.

Workforce Planning

- ✓ Milestone dates have slipped, and this project needs greater focus and definition. The Special Trustee has advised appropriate senior management of this concern and corrective action is being taken.

High Level Implementation Plan: Activity Reports

1. OST DATA CLEANUP

I. Statement of the Problem:

Documentation and supporting data in the Individual Indian Monies (IIM) module of the BIA's Information Resources Management System and IIM file jacket folders were not maintained consistently throughout BIA and OTFM field offices.

Numerous deficiencies existed in the data because of inconsistent application of any "standard" method of data input, account/data review, or standardized use of Tribal Codes, Alpha Codes or Management Codes.

II. Summary of Milestones Due this Quarter:

P4. Revise Management Coding (Plan Development). *This milestone, scheduled to be completed by December 31, 2000, was met.* The plan for the Revised Management Coding project, which outlines the steps necessary to review and correct the code discrepancies, was completed on December 28, 2000. After completion of the original review, there were 91,149 recommended changes to the IIM master record, of which 89,266 were account class code changes, including recommendations for coding 38,157 inactive accounts as closed. OTFM has completed the plan for reviewing all of the original 91,149 accounts to determine that proper changes were implemented or that there is documentation on file to support why the account was not changed. The plan provides for a project completion date of September 30, 2001.

Cleanup has been occurring on an ongoing basis and requires both BIA and OST participation to complete. Post cleanup change orders consist of changes to Tribal codes, alpha codes and account class codes (previously referred to as management codes). As of June 22, 1999, there were 91,149 recommended changes. Subsequent cleanup efforts have identified a total of 117,151 recommended changes. As of this reporting period, there remain accounts for which changes have not been made. This is partially due to needed documentation not being provided to support the existing code. As of January 31, 2001, there were still 11,549 accounts with no activity in eighteen months and no funds. BIA is being provided a listing of remaining inactive accounts to confirm that the accounts may be coded as closed.

P6. Resolve Special Deposit Accounts (Plan Development). *This milestone, scheduled to be completed by January 31, 2001, was met.* A plan to resolve and clean up Special Deposit Accounts was completed January 24, 2001. Special deposit account cleanup will consist of two phases. Phase I will be a pilot project at four sites: the Fort Peck Agency, Navajo Regional Office, Standing Rock Agency and the Wind River Agency. At these pilot sites, the cleanup will focus

on accounts valued at \$10,000 and over as of December 31, 2000, a population that represents two percent of the special deposit accounts but 89 percent of the special deposit dollars at the pilot agencies undergoing the cleanup process. The Phase I cleanup process and rationale will be reviewed after its completion to determine a timeline and budget for proceeding with Phase II of the pilot - a region-by-region cleanup of special deposit accounts.

III. Summary of Ongoing Activities:

N. Resolve Jacket Folder Retention/Production Issue with Tribes. No progress toward the release of the IIM jackets has been realized. The Department will continue to try and resolve this issue. Please refer to the Special Trustee's Observations for the Department's actions related to this task.

P. Identify, Report on, Organize and Initiate Follow-on Post-Conversion Cleanup Efforts. The following TFAS post-conversion activities occurred during this quarter:

- Of 1,282 accounts in regions other than the home agency, 43 additional accounts have been investigated and corrected (1,059 corrected accounts to date). OTFM is awaiting documentation from BIA and OTFM field staff to correct the remaining 223 accounts.
- Of 1,334 accounts that do not conform to OTFM policy, 75 additional accounts have been investigated and corrected (1,249 corrected accounts to date). OTFM is awaiting documentation from BIA and OTFM field staff to correct the remaining 85 accounts.

P3. Locate Missing Documents. Letters were sent to 472 "unrestricted" account holders who had cumulative disbursements exceeding \$5,000 over a 12-month period (unrestricted accounts are those IIM accounts in which an individual Indian may determine the timing and amount of disbursements from the account as established in 25 CFR 115). To date, a total of 367 accounts have been updated (78% of the accounts identified). Second and third letters have been sent to the remaining 105 account holders who have yet to respond to previous requests for information. Further options to obtain the outstanding information from the remaining 105 account holders, as well as methods to proceed with the "second tier" account holders (accounts with annual flow through amounts between \$1,000 and \$4,999) will be considered and reported in the next Quarterly Report.

P5. Continue Research/Resolving Whereabouts Unknown Accounts. As of January 31, 2001, some 31,133 accounts have been sent to Trans Union Credit Bureau to determine possible address matches with the information in the Trans Union database. Data from all regions has been sent to Trans Union. From information received from Trans Union, OTFM has sent 18,469 letters to possible account holders requesting confirmation of their identities, resulting in a 59% success rate of identifying possible account holder addresses. As of the end of this quarter, 2,302 accounts have been successfully updated, a 12% overall success rate of finding account holders whose whereabouts were previously unknown. Although 13,042 letters to confirm account holder identities were sent

this quarter alone, responses to these letters have been received at a much slower rate.

The contract for using the services of another Trans Union product, Data Trails, is under review by the Department's Solicitor's Office.

P8. Resolve Accounting Discrepancies. OST has assigned a staff person to this subtask who has initiated review of the accounting discrepancies. A determination of what has been done to date and the current status of the accounting discrepancies is underway. The Department also has assigned a person to review the OTFM policies and procedures to prevent any possible reoccurrence of the discrepancies.

IV. Changes/Corrections to the HLIP or Previous Quarterly Reports: None.

V. Milestone Chart for OST Data Cleanup Subproject

The milestone chart for this subproject starts on the next page.

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Milestone Chart for OST Data Cleanup Subproject
Subproject Manager: Doug Lords, OST

	Milestone Title	HLIP 2 Date	Revised Date*	Status
Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.				
A.	Establish Project Charter.....	11/30/96		Completed
B.	Organize Project and Temporary Staff to Conduct Records Cleanup Pilot	12/31/96		Completed
C.	Select and Cleanup a Test Agency	03/31/97		Completed
D.	Select Additional Test Site and Cleanup Records.....	06/30/97		Completed
E.	Develop and Refine Cleanup Processes.....	06/30/97		Completed
F.	Acquire Contractor to Perform Cleanup of Administrative Records in 18 Months	08/27/97		Completed
G.	Select Pilot Site-BIA's Western Region (Phoenix Area)	11/13/97		Completed
H.	Task Contractor for Methods Study, Planning, and Production Gear-up	12/31/97		Completed
I.	Task Contractor to Initiate, Conduct and Complete Cleanup"	01/05/98		Completed
J.	Gather Western Region Trust Records Centrally in Albuquerque.....	02/03/98		Completed
K.	Finish Cleanup of Western Region Administrative Trust Records.....	03/29/98		Completed
L.	Continue Gathering IIM Administrative Trust Jacket Folders & Trust Records from Other Areas.....	Ongoing		Completed
M.	Oversee Contractor's Efforts and Report on Progress	Ongoing		Ongoing
N.	Resolve Jacket Folder Retention/Production Issue with Tribes	Ongoing		Ongoing
O.	Complete IIM Jacket Folder Cleanup	09/30/99		Completed
P.	Identify, Report on, Organize & Initiate Follow-on Post Conversion Cleanup Efforts			
	P1. Eliminate Duplicate Accounts.....	03/31/00		Completed
	P2. Transfer Tribal IIM Accounts.....	03/31/00		Completed
	P3. Locate Missing Documents.....	Ongoing		Ongoing
	P4. Revise Management Coding (Plan Dev.).....	09/30/00	12/31/00 (4QR) ...	Completed
	P5. Continue Research/Resolving Whereabouts Unknown Accounts (Eval. Pt).....	09/30/00	Ongoing (4QR) ...	Ongoing
	P6. Resolve Special Deposit Accounts (Plan Dev.)... ..	09/30/00	01/31/01 (4QR) ...	Completed
	P7. Settle Issues with Small Balance./Inactive Accounts.....	Ongoing		Ongoing
	P8. Resolve Accounting Discrepancies	Ongoing		Ongoing

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

2. BIA DATA CLEANUP AND MANAGEMENT

I. Statement of Problem:

The BIA is implementing a new Trust Asset and Accounting Management System throughout all regions, agencies and participating Tribal offices. The data found in the legacy systems varies considerably in terms of quality, completeness and timeliness. Some offices used the current systems regularly, others used them rarely, and still others redefined the legacy systems to fit their own needs.

The scope of the BIA data cleanup effort is extensive. At present, the BIA is managing an estimated 170,000 tracts of land encompassing 56 million acres, 350,000 Indian owners, 2 million owner interests and 100,000 active leases.

Some historical records date back to the original allotment period in the 1880's.

II. Summary of Milestones Due This Quarter:

No milestone due dates fell within this reporting period.

III. Summary of Ongoing Activities:

Consistent with the new TAAMS deployment approach, DataCom Sciences, Inc., the BIA data cleanup contractor, is concentrating its data cleanup efforts to correspond with the TAAMS deployment schedules for Group A, the Rocky Mountain, Southern Plains, Alaska and Eastern Oklahoma Regions. No ongoing data cleanup activities elsewhere are being curtailed, but all new activities will be focused on Group A sites.

As reported in the *Fourth Quarterly Report*, the BIA and DataCom have been considering redefining the manner in which the actual data cleanup is being performed. The two options under consideration include data cleanup by tract and the DataCom proposal for direct data entry for any region where legacy data is not readily available for migration into TAAMS. Further decisions on these proposals will be made after the TAAMS leasing module is completed and operational in the Rocky Mountain Region.

G. Perform Pre-Deployment Data Cleanup. A variety of different data cleanup activities are occurring throughout the BIA regions. The cleanup activities currently underway at each site represent the known universe of data cleanup activities that must occur in these locations. As additional tasks are determined to be necessary, they are initiated. Pre-deployment data cleanup activities are occurring in all Regional Office jurisdictions, with the exception of the Eastern Oklahoma Regional Office, where title information is retained by the county. A description of the various pre-deployment and post-deployment data cleanup efforts can be found in Appendix A.

At present, and in conjunction with TAAMS deployment, the data cleanup emphasis is on the data utilized at the Land Title and Records Offices (LTROs).

Cleanup has focused primarily on eliminating data anomalies that impact data migration activities. Appendix B contains charts depicting previous and current quarter-to-date cleanup progress for each of the regions described below.

Summary of Regional Data Cleanup Activities

Rocky Mountain Region Cleanup Status

- Multiple Owner ID (IRMS): is 46% complete (2,022 cases).
- Individual Indian Monies (IIM) ID Match: completed 660 (84%) of the 789 cases identified.
- Change In Land Status: task initiated on December 4, 2000, and 162 of the 567 total cases identified have been completed.
- Lease Owner Inquiry: task completed at the Ft. Peck Agency on November 3, 2000
- Tract allotment files at the Ft. Peck and Ft. Belknap Agencies and lease files at the Crow Agency are being updated along with assistance from the Soap Creek Audit.

Alaska Region Cleanup Status

- Alaska Region: DataCom personnel completed the title examination for 360 tracts and TAAMS encoding for 160 tracts.
- Koniag Region: Title examination was completed on November 29, 2000.
- Ahtna Region: Title examination was completed on December 1, 2000.

Great Plains/Midwest Region Cleanup Status

- Multiple Owner ID: task for the Great Plains and Midwest Regions is 76% complete (10,815 cases) and the research process is 97% complete (13,900 cases)
- Document Processing: Completed 4,387 of 13,000 (34%) Joint Tribal Advisory Committee (JTAC) and pilot deeds.
- Current Global Requests: Processed 197 of 204 requests (97%) received to date.
- Godzilla Task: Completed 307 of the 938 cases currently identified

Southwest/Western/Navajo Regions Cleanup Status

- Multiple Owner ID: 81% (759 cases) have been completed for the Southwest Region and 46% (1,427 cases) for Navajo/Western Regions.
- Non-Enrolled ID: 370 cases have been completed for the Eastern Navajo and Pima Agencies.
- BIA Assigned Administrative Probate Modification: 53 of the 1,287 administrative probate modifications received have been completed and 419 modifications are pending BIA review.
- Administrative Modification Encoding: all 74 of the 74 administrative modifications received to date have been encoded and are pending BIA approval.
- Encoding Encumbrances: Initiated on December 1, 2000, and have completed 59 of the 166 cases currently identified.
- Encoding Supplemental Patents: Initiated on December 7, 2000, and have approved encoding for 168 of the 274 cases identified for this task to date.

Northwest Region (Flathead/Colville) Cleanup Status

- Document Processing: Completed 928 of 1,037 (89%) documents currently identified.
- Multiple Owner ID: Completed 209 of the 215 cases (97%) at the Flathead Agency and have completed 801 of 4,213 cases (19%) at the Northwest Regional Office.
- 100N: Completed 2,040 of the 3,170 (64%) 100N number cases identified/returned from the agencies: Initiated the 100N Task at the Flathead Agency on December 1, 2000, and have completed the initial research for 274 of the 274 cases currently identified.
- 6,930 of the 9,861 (70%) ID verification requests sent out by the LTRO were outstanding at the end of January.

Pacific Region Cleanup Status

- Multiple Owner ID: Completed 574 cases (80%)
- Non-Enrolled ID: Completed 1043 of 2,690 (39%) cases identified.
- As a subtask of both the Multiple Owner ID and Non-Enrolled ID Number Tasks, 713 identification cards have been updated.

Southern Plains Region Cleanup Status

- Multiple Owner ID Task: Completed 909 of 2,540 (36%) cases identified.
- Payment File Verification Task: Completed 27 of the 1,738 cases.
- Continued to update and create ID cards for landholders in the region, and have completed 350 ID cards to date.

Eastern Region

- Document Inventory Task: Completed on December 22, 2000.
- The focus at the Cherokee Agency remains the acquisition and certification of original legal documents:
 - completed document examination on 1,319 files from which data cleanup personnel have acquired 5,166 Land Titles and Records documents; and
 - reviewed approximately 25,830 of the estimated 30,000 records (86%) identified as data cleanup work.

H. Monitor Data Integrity for Each BIA Office. To assess the quality of data in the legacy systems through the TAAMS conversion process, data cleanup personnel are scanning random data samples onto CDs, then comparing these electronic documents to the information housed in LRIS. This review will determine if discrepancies exist and identify data entry errors.

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In the Rocky Mountain Region, data cleanup personnel completed scanning data for the TAAMS derived document-based sample (TIME Project) on December 29, 2000. Data cleanup personnel initiated the TIME Project at the Great Plains Regional Office on December 4, 2000 and have completed scanning 245 documents for the derived Tract 100 Sample to date. In the Northwest Region, data cleanup personnel initiated the TIME Project the week of December 11, 2000, and have completed scanning 315 documents for the derived Tract 100 Sample to date.

I. TAAMS Post-Deployment Cleanup. Post deployment data cleanup is occurring in the Rocky Mountain and Southern Plains Regions for land title and records.

IV. Corrections/Changes to the HLIP or Previous Quarterly Reports: None.

**V. Milestone Chart for BIA Data Cleanup and Management
Subproject Manager: Chester Mills, BIA**

		HLIP 2		
Milestone Title		Date	Revised Date*	Status
Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.				
A.	Assign BIA Data Administrator and Data Administration Team.....	08/31/98		Completed
B.	Identify Data Elements, Standards, and Metrics & Ownership Issues	03/26/99		Completed
C.	Perform Data Quality Analysis.....	12/31/98		Completed
D.	Procure Data Cleanup Contractor Assistance	03/01/99		Completed
E.	Develop Data Cleanup Strategy, Policies and Procedures	08/31/99		Completed
F.	Train on Data Cleanup and Data Quality Policies and Procedures	Ongoing		Ongoing
G.	Perform Pre-Deployment Data Cleanup in Current Systems	06/30/00		Initiated
H.	Monitor Data Integrity for Each BIA Office.....	Ongoing		Ongoing
I.	TAAMS Post-Deployment Cleanup.....	12/31/03		Ongoing
J.	Post Data Cleanup Auditing	Ongoing		Ongoing
K.	BIA Data Management.....	Ongoing		Ongoing

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

3. PROBATE BACKLOG

I. Statement of the Problem:

The Secretary is charged with administering trust or restricted resources and funds for the benefit of individual Indian owners. Federal law permits Indian resource owners to pass title to their trust assets by testamentary devise or by intestate succession and imposes upon the Secretary the duty of determining the legal heirs to the trust assets after the death of an Indian trust asset owner. As each generation passes, Indian heirs become owners of undivided interests in the trust and restricted assets. This multiple common ownership is referred to as fractionated heirship.

Due in large part to the great numbers of fractionated interests in trust assets, probate cases in BIA regions with high concentrations of allotted lands have become backlogged. The Indian Probate Reinvolution Laboratory found that this situation is further exacerbated by the fact that both BIA and OHA lack sufficient staff exclusively dedicated to probate case work, and that there exists no uniform agency procedures for facilitating timely processing. Caseload data, which included a projected estimate of future deaths, was that approximately 15,500 actions are pending in ten BIA regions.

The Office of Hearings and Appeals (OHA) performs the adjudication functions in which Administrative Law Judges probate Indian trust estates. The failure of OHA to remain current in probate adjudication adversely affects the accuracy of title records and the proper distribution of funds derived from trust property. OHA has approximately 4,000 pending cases including undecided cases that have been carried over from prior years and new cases received from BIA in the current year. The implementation of the reinvention lab recommendations will address the backlog of pending cases and prevent future backlogs.

II. Summary of Milestones Due this Quarter:

D. Establish OHA/BIA Implementation Team to Coordinate Implementation of Redesigned Probate Process. *This milestone, scheduled to be completed by December 31, 2000, was met.* The remaining vacancy for the program analyst position has been filled. The six-person Probate Implementation Project Team is fully staffed.

K. Expand Existing OHA Caseload Tracking into a Joint Interim System. *This milestone, scheduled to be completed by December 31, 2000, was not met. A new date for the completion of this milestone is April 30, 2001.* As of December 30, 2000, a database, also referred to as the Probate Operating System (POS), was accessible via the Internet to authorized users with the appropriate User ID code and password. Presently, only test data is on the database and only a single User ID code is possessed by a design team composed of OHA contacts and probate project team members. Sample probate files have been encoded to test the database in order to make any necessary modifications before transfer to the government's server by April 30, 2001.

M2. Promulgation of BIA Regulations. *This milestone was scheduled to be completed by December 31, 2000. This milestone was completed on January 22, 2001, after a short delay for OMB and White House clearance of the final regulations.* The final probate regulations were completed in early December and combined with other trust regulations for leasing, grazing, and trust funds. The final trust regulations were submitted to OMB on December 20, 2000, cleared by the White House and OMB on January 11, 2001, and published in the *Federal Register* on January 22, 2001.

R1. Inventory of P.L. 93-638 Tribes. *This milestone, scheduled for completion by December 31, 2000, was met.* As a first step in establishing partnerships with Tribal organizations to enable the sharing of information, the Probate Implementation Project Team contacted and inventoried 39 Indian tribes who compact and 20 Indian tribes who contract with the BIA to perform the probate function. The total of 59 tribes was verified with the BIA Regional Offices and the Offices of Self Governance and Self Determination. A current list of the inventoried compact and contract Indian tribes is on the probate project web page.

The Team also developed a survey instrument to identify Tribal probate administrators and to collect data on the existing probate backlog, current caseload, Tribal inheritance codes (if any), and Tribal needs for staffing, equipment, and training. Approximately 82% of the compact tribes and 60% of the contract tribes have completed the survey. The results of the survey will be used to determine the amount of funding needed by contract and compact Indian tribes for staffing, equipment, and training to justify and plan for future budgets.

III. Summary of Ongoing Activities:

A2. Elimination of Summary Distribution Backlog. As of December 1999, the probate summary distribution backlog noted in the revised HLIP was 1,000. During this quarter, 331 cases were submitted to the Attorney Decision-Makers (ADM) and Superintendents, 19 were returned to the agencies as incomplete, and 36 were referred to an Administrative Law Judge (ALJ). This quarter, 199 of the previously pending cases were decided. Cumulative totals to date are 530 cases submitted, 249 are pending informal hearings or decisions, and 281 have been decided.

A3. Complete Decisions on Current Docket and Incoming Cases. The pending docket of Indian probate cases at the end of FY2000 was 3,836 cases. During this reporting cycle, the Office of Hearings and Appeals added 681 new Indian probate cases to its active docket and issued 740 Indian probate decisions.

A4. Complete Decisions on Pending Cases. As of January 31, 2001, the Office of Hearings and Appeals has decided 1,299 of the 1,777 probate cases that were on its docket more than 12 months as of September 30, 1999. OHA decided 385 of these cases during the current fiscal year. During FY 2001, OHA expects to decide the remaining 478 cases and make substantial progress toward deciding those cases that became more than 12 months old during FY 2000. This milestone is scheduled to be completed by September 30, 2002.

A5. Posting and Recordation of Probate Backlog. The contractor, DataCom, Inc., is performing work in the Great Plains, Southwest and Northwest regional Land Title and Records Offices (LTROs). As of December 1999, the posting and recording backlog noted in the revised HLIP was estimated at 4,600 for all regional LTROs and BIA agencies.

In August 2000, the contractor inventoried a backlog of 1,940 at the Great Plains LTRO. During this quarter, 246 probates comprising 2,114 tracts were completed at the LTRO, and 92 probates require some type of modification before completion. Cumulative year-to-date totals are 481 probates encoded and completed comprising 4,270 tracts of land, and 190 probates requiring some type of modification before completion.

In August 2000, the contractor inventoried an initial backlog of 30 at the Southwestern LTRO, but this number has increased to 230 as existing probates fell within the backlog time period. During this quarter, 118 probates comprising 1,045 tracts were completed at the LTRO, and 25 probates require some type of modification before completion. Cumulative year-to-date totals are 169 encoded and completed comprising 1,664 tracts, and 38 probates requiring some type of modification before completion.

In January 2001, the contractor inventoried a backlog of 234 at the Northwestern LTRO. During this quarter, 14 probates comprising 91 tracts were completed at the LTRO, and no probates required modification before completion. Cumulative year-to-date totals are 14 encoded and completed by BIA comprising 91 tracts, and no probates require modification before completion.

A6. Contract for Elimination of Probate Case Processing Backlog. The BIA and OST contracting officers and the BIA Project Director met and finalized the statement of work for a four-month pilot project for processing probate backlog cases. A contract was awarded to DataCom, Inc. Four BIA agencies and one contracted Indian Tribe within the Western Region at Phoenix, Arizona, were selected for the pilot. The contractor has surveyed the tribe and agencies to inventory the existing backlog.

Training for contractor employees on the tasks to be performed under this contract has been provided under the direction of the BIA Project Director. A project team member will be detailed to the Western Region as Contracting Officer's Technical Representative (COTR) to provide quality control and on-site approval of the contractor's work. It is anticipated that work will begin at one of the five inventoried sites in February. The contract also provides that the contractor will develop standard operating procedures for the pilot project and a national rollout plan for case processing.

B. Progress on *Youpee v. Babbitt*. To determine a methodology for processing the remaining *Youpee* cases, the BIA will analyze the pilot experience at the Pawnee Agency. Two economists from the Office of Policy Analysis have been coordinating their data analysis with the BIA Project Director, a Probate Backlog project team member, and the Office of Trust Responsibilities staff. The data collected from the Pawnee Agency has been encoded into electronic spreadsheets for analysis. A survey instrument has been developed to obtain

BIA agency review of the Pawnee Agency characteristics that may factor in to the overall application of the data on a national scale. The Indian Land Consolidation Pilot is also being reviewed to assess whether the information obtained in that pilot might assist in the valuation of lands or identify any other factors that may affect the *Youpee* report.

H.1 Complete Staffing Needs Assessment to Determine Staffing Levels at BIA Field Office: Phase I. A contract was awarded to Booz-Allen & Hamilton, Inc. by the Workforce Planning Subproject to complete the staffing needs assessment for the probate functions. Meetings have been held with the contractor, BIA, BLM and the Office of Personnel Policy regarding the statement of work and anticipated results of the contract by each agency. A probate project team member has been assigned to coordinate the probate staffing assessments with the Workforce Planning Subproject and contractor.

L. Convert Interim Probate Tracking into a Comprehensive Probate Tracking and Caseload Management System. The TAAMS probate design module team, composed of BIA, OHA, OST, contract Indian tribes, the TAAMS coordinators and Artesia representatives, met twice during this quarter to begin the probate design phase. A thorough analysis of all the fields included in the OHA-7 form is 90% completed for recommendation to Artesia programmers.

P. Customer Outreach. The probate project staff has designed a web page that will link off the main BIA website (<http://www.doi.gov/bureau-indian-affairs.html>). The site contains a brief description of the Probate Implementation Project Office and staff; a list of Indian tribes who contract and compact the BIA probate function; a list of the ADM staff and locations; a list of the full-time probate staff in BIA agencies, field offices, and regional offices; links to the Trust Management Improvement reports such as the HLIP and reinvention lab reports; and links to the OHA page and OHA central and field offices.

IV. Changes/Corrections to the HLIP and Previous Quarterly Reports:

H1. Complete Staffing Needs Assessment to Determine Staffing Levels at BIA Field Offices, Phase 1. The Workforce Planning Project has awarded a contract for the survey of the BIA probate workforce and workload, the findings of which will complete this milestone. That contract is scheduled to conclude by April 21, 2001. Therefore, this milestone is changed from "TBD" to April 30, 2001.

H2. Complete Staffing Needs Assessment to Determine Staffing Levels at BIA Field Offices, Phase 2. Because the successful completion of Phase Two of this milestone depends on the results of the Phase One survey mentioned above, the date for the completion of Phase Two must follow the milestone target date for Phase One. Therefore, the date for Milestone H2 is changed to June 30, 2001.

M3. Promulgation of OHA Regulatory Amendments. To accommodate the Administration's recently announced internal clearance procedures for any regulations and Indian affairs matters, the public comment period, Tribal consultations, review of comments, and final revisions of the rule, the date for Milestone M3 is changed to October 31, 2001.

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V. Milestone Chart for Probate Backlog
Project Managers: Charles Breece, OHA
Kathleen Supernaw, BIA

HLIP 2

Milestone Title	Date	Revised Date*	Status
Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.			
A. Strategies to Reduce Backlogs			
A1. Establish ADM Positions as an Alternative Means of Deciding Cases.....	07/31/00		Completed
A2. Elimination of Summary Distribution Backlog	12/31/00	06/30/01 (4QR)...	
A3. Complete Decisions on Current Docket and Incoming Cases	09/30/02		
A4. Complete Decisions on Pending Cases	09/30/02		
A5. Posting and Recordation of Probate Orders	12/31/01		
A6. Contract for Elimination of Probate Case Processing Backlog.....	12/31/02		
B. Address Probate Backlog Created by <i>Youpee v. Babbitt</i>	09/30/04		
C. Conduct Two-Phased Indian Probate Reinvention Lab.....	11/29/99		Completed
D. Establish BIA/OHA Implementation Team to Coordinate Implementation of Redesigned Probate Process	09/30/00	12/31/00 (4QR)...	Completed
E. Authorize Increased Summary Distribution Threshold for BIA Agency Superintendents.....	08/24/99		Completed
F. Legislation to Authorize Hiring Indian Probate Judges.....	11/30/99		Completed
G. Hire Additional OHA Staff and Reopen Probate Offices.....	09/30/00		Completed
H. Complete Staffing Needs Assessment to Determine Staffing Levels at BIA Field Office:			
H1. Phase I.....	06/01/00	TBD (3QR)	Changed to 04/30/01
H2. Phase II.....	03/31/01		Changed to 06/30/01
I. Hire BIA Probate Staff & Establish BIA Professional Corps	06/30/01		
J. Identify Indian Probate Training Needs.....	08/31/00		Completed
K. Expand Existing OHA Caseload Tracking into a Joint Interim System.....	12/31/00		Changed to 04/30/01
L. Convert Interim Probate Tracking to Comprehensive Probate Tracking & Caseload Management System	10/31/00	TBD (2QR)	TBD
M. Amend OHA Regulations & Promulgate BIA Regulations that Establish Policies & Procedures for the Indian Probate Program:			
M1. BIA Draft Regulations.....	06/30/00		Completed
M2. Promulgation of BIA Regulations	12/31/00		Completed 01/22/01
M3. Promulgation of OHA Regulatory Amendments ...	07/31/01		Revised to 10/31/01
M4. Publication of Interim Final Rule to Permit BIA ADMs to Make Summary Distributions.	04/30/00	05/02/00 (3QR)...	Completed
N. Continue to Identify and Implement BIA & OHA Best Practices Through implementation Phase of Reengineered Probate Process.....	Ongoing.....		Ongoing
O. Coordinate Implementation of Improved Probate Record Keeping Strategies.....	07/31/00		Completed
P. Initiate Customer Service Outreach	09/30/00		Completed
Q. Initiate Partnerships with Other Federal Agencies	08/31/01		
R. Establish Partnerships with Indian Tribes			
R1. Inventory of P.L. 93-638 Tribes.....	12/31/00		Completed
R2. Model Memorandum of Understanding	09/30/00		Completed
R3. Inventory of Tribal Inheritance Codes.....	03/31/01		
R4. Model Inheritance Code	06/30/01		

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

4. BIA APPRAISALS

I. Statement of the Problem:

In general, the regulations governing the processing of trust resource transactions require the Secretary to obtain fair market value for tribes and individual Indian owners on trust and restricted land and resources. To meet this requirement, an appraisal or other valuation is used as a management tool to ensure that fair and just compensation is received by the Indian landowner on transactions including, but not limited to, leases, rights-of-way, land sales, timber sales, land exchanges, grazing and range permits.

At the end of Fiscal Year 1999, the BIA estimated its appraisal backlog to be 2,000 requests. The result of this backlog is that a similar number of realty transactions have not been consummated for lack of a valuation of the trust resource. Some transactions have been pending for as long as three years.

II. Summary of Milestones Due this Quarter:

J. Upgrade the Bureau's Automated System. *This milestone was scheduled to be completed by December 15, 2000, and was not met. A new date for the completion of this milestone is April 30, 2001.*
The Bureau has acquired and shipped computers and required software to most regions. Before the end of the next reporting period, it is expected that the computers and software will be delivered to the final two offices in Alaska and Wisconsin, completing this task.

K. Realign Line Authority to Ensure Consistent Management and Overview of the Appraisal Program. *This milestone was scheduled to be completed by December 31, 2000 and was not met. A new date for the completion of this milestone is October 31, 2001.*
In December 2000, a decision was made to realign the BIA appraisal program to establish a Division of Appraisals under the Director, Office of Trust Responsibilities in the Central Office. The Deputy Commissioner of Indian Affairs notified the union of the reorganization proposal on December 26, 2000. The time for union comment has passed and no adverse comments have been received.

The future procedural steps necessary to implement this decision will become subtasks of this milestone as follows:

- ✓ The Plan to Realign Line Authority, including the steps necessary to implement the reorganization and how this reorganization will ensure consistent management of the appraisal program, will be completed and approved by the Special Trustee by March 31, 2001.

- ✓ Conduct Tribal consultations at agencies that have appraisers (minimum 30 days)
- ✓ Submit reorganization proposal to DOI Office of Budget for DOI and OMB clearance (14 days following completion of consultation; minimum 30 days for DOI and OMB clearance)
- ✓ Submit reorganization proposal to Congressional Appropriations Committees for approval (minimum 30 session days)
- ✓ Advertise new positions (estimate 30 days)
- ✓ Complete hiring process (estimate 30 days)

III. Summary of Ongoing Activities:

C. Develop and Maintain Database for Tracking Appraisals: The bureau has received a proposal from Applied Terravision for the TAAMS Appraisal Automated Management System (AMS). The AMS module is a complex system designed to track the progress of a request for appraisal services from initiation to completion and automate the appraisal request flow from participant to participant according to a defined process.

IV. Changes/Corrections to the HLIP or Previous Quarterly Reports:

J. Upgrade the Bureau's Automated System. A revised date for the completion of this task is April 30, 2001.

K. Realign Line Authority to Ensure Consistent Management and Overview of the Appraisal Program. A revised date for the completion of this milestone is October 31, 2001. New subtasks of this milestone and their completion dates are identified as follows:

- K1. Completion of Plan to Realign Line Authority, to be completed by March 31, 2001
- K2. Tribal Consultations
- K3. Submit Reorganization Proposal to DOI for DOI and OMB Clearance
- K4. Submit Reorganization Proposal to Congress
- K5. Advertise New Positions
- K6. Complete Hiring Process

The milestone due dates for tasks K2-K6 are yet to be determined.

V. Milestone Chart for BIA Appraisal Program

The milestone chart for this subproject starts on the next page.

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BIA Appraisal Program
Project Manager: Gabriel Sneezy, BIA

	Milestone Title	HLIP2 Date	Revised Date*	Status
	Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.			
A.	Determine and Ensure Certification Qualifications of BIA Appraisers	Ongoing	Ongoing
B.	Development of a Real Estate Appraisal Handbook	10/14/98	Completed
C.	Develop and Maintain Database for Tracking Appraisals ...	06/30/00	09/30/00 (2QR) ... TBD (4QR)	TBD
D.	Evaluate and Survey Fair Market Value Appraisal Requirements	06/30/00	10/31/00 (3QR)	Completed
E.	Hire Bureau-Wide Chief Appraiser	06/21/99	Completed
F.	Create Appraisal Technical Board	04/27/99	Completed
G.	Implement a Standard Appraisal Request Form	11/22/99	Completed
H.	Implement an Automated Comparable Sales/Lease Database System.....	09/30/00	TBD (4QR)	TBD
I.	Contract On-Line Real Estate Providers in Locations Where Available.....	04/30/00	Completed
J.	Upgrade the Bureau's Automated Systems	09/30/00	12/15/00 (4QR)	Changed to 04/30/01
K.	Realign Line Authority to Ensure Consistent Management and Overview of Appraisal Program.....	05/31/00	12/31/00 (3QR)	
	K1. Completion of Plan to Realign Line Authority	Changed to 10/31/01
	K2. Tribal Consultations.....	TBD
	K3. Submit Reorganization Proposal for DOI & OMB Clearance	TBD
	K4. Submit Reorganization Proposal to Congress.....	TBD
	K5. Advertise New Positions	TBD
	K6. Complete Hiring Process.....	TBD
L.	Reduce Rocky Mountain Region Appraisal Backlog	08/31/00	09/22/00(4QR)	Completed

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

6. TRUST ASSET AND ACCOUNTING MANAGEMENT SYSTEM (TAAMS)

I. Statement of the Problem:

There are currently two BIA-wide automated systems used to manage Indian trust assets: the Land Records Information System and the Integrated Records Management System (IRMS). Neither system is integrated, they have no electronic interface with other trust systems, they utilize redundant data and virtually no internal or data entry auditing requirements exist. Nor do either LRIS or IRMS fully or adequately support all of the activities performed by the BIA offices at the regional, agency or Tribal level.

The Trust Asset and Accounting Management System that will replace existing systems and address current system shortcomings is comprised of a modified commercial off-the-shelf general trust asset management system. The TAAMS will include master lease, billing and accounts receivable, collection subsystems, and land title functions.

II. Summary of Milestones Due this Quarter:

No milestone due dates fell within this reporting period.

III. Summary of Ongoing Activities:

Currently, the focus of the TAAMS initiative is on completing a final review of the realty module, retesting the entire system in the Rocky Mountain Region, and preparing the required documentation for an executive decision on future system deployment.

K1. Complete System Modification Effort – Title Portion. Effective December 29, 2000, TAAMS was made the system of record for current title for the Rocky Mountain, Southern Plains, Eastern Oklahoma and Alaska Regions. These four title plants represent all offices designated in Group A for deployment. The TAAMS team will continue to monitor the use of TAAMS in the offices and address any issues that may arise. At present, no other LTROs (Groups B and C) are being considered for deployment until the leasing development activity is completed. The title history data is not complete. As necessary, field staff will continue to supplement historical title information in TAAMS with data and information from legacy systems and hard copy data.

K2. Complete System Modification Effort – Realty Functions and Interfaces. The Trust Management Improvement Policy Steering Committee established May 31, 2001 for the completion of this activity.

The BIA has completed its transactional verification analysis (TVA) of the TAAMS leasing module. Consistent with the prototyping method being used for TAAMS, a review of the TVA was conducted to determine the remaining functions that must be included for the TAAMS realty portion to be completely operational.

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The Deputy Commissioner has appointed a full-time field manager with the responsibility and authority for completing a final design that fully meets the field's needs and desires. A number of BIA field staff have been placed on detail to work on TAAMS in Dallas, TX until the system design and modification is complete.

The schedule listed below was developed based on the requirement that this activity be completed by May 31, 2001.

Interim TAAMS Realty Modification Milestones

Task	Scheduled Completion Date	Status
Finalize TVA Review	01/12/01	Complete
IRMS Conversion	01/19/01	Complete
Business Process Review	01/26/01	Complete
Name and Address	01/29/01	Complete
Gap Analysis	02/09/01	Complete
Document Baseline	02/16/01	Complete
Progress Review I	02/22/01	Complete
Complete Initial Programming	03/16/01	
System Test	03/23/01	
Progress Review II	03/29/01	
Title History	03/30/01	
Final System Modifications	04/06/01	
Progress Review III	04/12/01	
RDRS Conversion	04/13/01	
Training for UAT Participants	04/13/01	
User Acceptance Test - Billings	05/04/01	
UAT Analysis and Report	05/11/01	
BIA Review	05/18/01	
Final Report	05/25/01	
Executive Management Review	05/29/01	
Executive Management Decision	05/31/01	

S2. Realty Functions and Interfaces Start. Based on the schedule discussed above, TAAMS title and realty modules are scheduled to be fully implemented by June 1, 2001 in the Rocky Mountain Region.

T. Complete TAAMS Deferred Modifications. TAAMS deferred modifications continue to be suspended until the initial version is complete. The basic approach of the TAAMS phase I activities has been to include all necessary functionality whether or not it was originally identified as "mandatory-deferred." The BIA will schedule future enhancements after TAAMS has been utilized in the field for at least a short time in order to identify any needed additional functionality.

IV. Corrections/Changes to the HLIP or Previous Quarterly Reports:

K2. Realty Functions and Interfaces. A new milestone date of May 31, 2001 has been determined. Previously, this milestone completion date was reported as TBD.

S2. Realty Functions and Interfaces Start. A new milestone date of June 1, 2001 for this task has been determined. By this date, TAAMS is scheduled to be fully implemented in the Rocky Mountain Region. Previously, this milestone completion date was reported as TBD.

V. Milestone Chart for Trust Asset and Accounting Management System

The milestone chart for this subproject starts on the next page.

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**Trust Asset and Accounting Management System (TAAMS)
Project Manager: Chester Mills, BIA**

HLIP 2

	<u>Milestone Title</u>	<u>Date</u>	<u>Revised Date*</u>	<u>Status</u>
	Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.			
A.	Select Pilot Site	11/13/97		Completed
B.	Acquire External Professional Consulting Services.....	03/31/99		Completed
C.	Assemble Senior BIA and OST Team to Develop Requirements	04/24/98		Completed
D.	Prepare and Publish RFI for COTS Systems.....	06/19/98		Completed
E.	Organize Joint Technical Team to Develop Detailed Specifications & RFI.....	09/30/98		Completed
F.	Obtain DOI Approval (TIA/IRMC) for System and Approach	09/11/98		Completed
G.	Develop RFP Using Joint BIA/OST Technical Team/Systems Consultant.....	08/27/98		Completed
H.	Select TAAMS Project Management Team	11/30/98		Completed
I.	Award Contract to Successful Proposer.....	12/02/98		Completed
J.	Develop System Modification and Deployment Strategy with Contractor	05/31/99		Completed
K.	Complete System Modification Effort			
	K1. Title Portion.....	05/30/00	04/17/00 (2QR) ...	Completed
	K2. Realty Functions and Interfaces.....	08/31/00	TBD (4QR)	Changed to 05/31/01
L.	Analyze National Requirements for User Work Stations - Rocky Mountain Region.....			Completed
M.	Conduct System Testing	11/22/99		Completed
N.	Complete Training of Support and User Personnel at Rocky Mountain Region.....	06/30/99		Completed
O.	Complete Independent Verification and Validation.....	02/28/00		Completed
P.	Initiate TAAMS Pilot at BIA's Rocky Mountain Region	06/25/99		Completed
Q.	Perform User Test at Pilot Site	02/04/00		Completed
R.	Deployment Decision Review	03/31/00	03/22/00 (2QR) ...	Completed
S.	Deployment to BIA and Tribal Sites			
	S1. Title Portion Start	05/30/00		Completed
	S2. Realty Functions and Interfaces Start.....	08/31/00	TBD (4QR)	Changed to 06/01/01
T.	Complete TAAMS Deferred Modifications	09/30/00	TBD (4QR)	TBD
U.	TAAMS Documentation and Supporting Information.....	As needed		
V.	TAAMS Ongoing Operations	Ongoing.....		Ongoing

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

7. MMS SYSTEMS REENGINEERING

I. Statement of the Problem:

Faced with changing energy markets, new legislative mandates, and aging computer systems, the Royalty Management Program (RMP) made the decision to reengineer its core business processes and support systems. This initiative is necessary in order for the RMP to remain cost-effective and responsive to customer needs and to fulfill its trust responsibility to American Indians.

Note: Effective October 8, 2000, the RMP implemented a Congressionally approved reorganization, becoming Minerals Revenue Management (MRM). The reorganization implemented a reengineering effort that redesigned and streamlined the RMP's business processes.

II. Summary of Milestones Due this Quarter:

K7. System Test Plan Finalized. *This milestone, scheduled to be completed by December 15, 2000, was met.* The MRM Financial System Application Test Plan was completed December 15, 2000. This document defines Functional (System) and Acceptance testing, the test process, team roles, test tools, and metrics, and provides the workplan and schedule for Functional (System) testing.

Representatives from MMS, BIA, Applied Terravision Systems, Inc. and Accenture (MRM's Financial System Developer -- formerly named Andersen Consulting) will be coordinating systems interface testing. MMS continues to work with the BLM to ensure the integration of the Automated Fluid Minerals Support System and the new MMS Financial System. User group meetings were held in November 2000 to coordinate on a variety of integration issues.

III. Summary of Ongoing Activities:

C. Benchmark the Process. MMS is working with the University of Texas University Lands Accounting Office, which is also reengineering their system, on a variety of best practices issues. Particularly noteworthy for the reporting period was the examination of the commercial practices utilized by the University Lands Accounting Office to successfully minimize its risk exposure in managing its royalty-in-kind program.

E. Obtain Customer/Constituency Input. MMS continues to involve State and Tribal representatives in the development of MMS' future systems. Several of these representatives are dedicated full-time to the joint development team now in place. Furthermore, regularly scheduled meetings are held with representatives of the State and Tribal Royalty Audit Committee (composed of members from ten States and seven Tribes) to provide briefings and solicit input on the reengineering systems and process development. The most recent two-day session was held in January 2001. Also, in November 2000, MMS met with several Tribes to gather their input on necessary revisions to the forms used to gather information related to transportation and processing allowance on Indian lands.

MMS continues to engage representatives of a number of oil and gas companies, solid mineral companies, and the Council of Petroleum Accountants Societies in the process and systems development work and related issues.

IV. Changes/Corrections to HLIP or Previous Quarterly Reports.

Mr. Phil Sykora has assumed the role as Program Manager for the MMS System Reengineering Subproject.

V. Milestone Chart for MMS Systems Reengineering

The milestone chart for this subproject starts on the next page.

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Milestone Chart for MMS System Reengineering
Subproject Manager: Phil Sykora, MMS

Milestone Title		HLIP 2 Date	Revised Date*	Status
Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.				
A.	Initiate Program-Wide Reengineering with Full-Time Design Team	04/30/97		Completed
B.	Identify Processes for Business Process Review	05/31/97		Completed
C.	Benchmark the Processes.....	Ongoing.....		Ongoing
D.	Map Processes.....	07/11/97		Completed
E.	Obtain Customer/Constituency Input	Ongoing.....		Ongoing
F.	Complete Preliminary Design Document/Decision to Proceed	03/31/98		Completed
G.	Complete Prototyping and Pilot Testing	09/30/98		Completed
H.	Complete Project Capital Investment Plan & Independent Verification and Validation	09/30/98		Completed
I.	Issue Implementation Plans - Road Map to 21st Century...	11/30/98		Completed
J.	Implement Process Leading to Award of Financial System Contract			
	J1. Issue Request for Proposals (RFP) for COTS-based Financial System.....	04/09/99		Completed
	J2. Conduct Vendor On-site Visits with MMS/RMP Staff	05/31/99		Completed
	J3. Receive RFP Proposals and Begin Evaluation	06/02/99		Completed
	J4. Evaluate Proposals, Including COTS Specific Independent Functional Validation	07/09/99		Completed
	J5. Complete Evaluations and Commence Procurement Activity/Negotiations	07/23/99		Completed
	J6. Award Financial System Development Contract ..	09/23/99		Completed
K.	Develop Financial System Consistent with Contract Deliverables Schedule & Transition & Training Strategies			
	K1. Initiate Development Contract Mobilization Under 120-Day Activity Plan	10/01/99		Completed
	K2. Establish Financial Contract Management Plans and Schedule for Development Deliverables from Award Date to 9/30/01, and Systems Analysis, Design and Development Activities which will include Testing and Independent Validation of TAAMS/TFAS interfaces.....	01/31/00		Completed
	K3. Complete Commence COTS Fit Analysis	02/28/00		Completed
	K4. Complete General Design for Future Financial Systems	01/31/00	06/30/00 (2QR) ..	Completed
	K5. Complete Detailed Application Design.....	XXXXXX	08/31/00 (2QR) ... 10/13/00 (4QR)...	Completed
	K6. Data Conversion Plan Finalized	XXXXXX	10/13/00 (2QR) ..	Completed
	K7. System Test Plan Finalized	XXXXXX	12/15/00 (2QR) ..	Completed
	K8. Build and Test Application Components	02/28/01		
	K9. Design, Build and Test Data Conversion	04/30/01		
	K10. Plan and Execute Functional and Performance Acceptance Test	08/31/01		
L.	Complete Development and Delivery of Financial System Relational Data Base Management System and Related Modules	09/30/01		
M.	Award Compliance System Contract.....	TBD	09/30/00 (2QR) ..	Completed
N.	Complete Development & Delivery of Compliance System	09/30/01		

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

8. **RECORDS MANAGEMENT**

I. **Statement of the Problem:**

The inadequacies of Indian trust records have been well documented in Congressional reports, legal documents and testimony, the Special Trustee's Strategic Plan, various audits and oversight reports including those of the National Archives and Records Administration (NARA), and in the media. Among the primary obstacles to improving the Indian trust management program and complying with the *American Indian Trust Fund Management Reform Act of 1994* are the poor records and record keeping systems of the Bureau of Indian Affairs. The decentralization of the BIA and varying conditions at its offices have resulted in a complex record keeping environment, even as reliance on its records has increased. Attempts in the early 1990's to correct these problems were insufficient, inconsistent, and cut short by reductions in resources. Since Secretarial Order 3197 transferred the financial trust services function from BIA to the OST in February 1996, some of the deficiencies apply to OST as well.

II. **Summary of Milestones Due this Quarter:**

Y. Award New Contract for OST Imaging. *This milestone, scheduled to be completed by November 2000, was met.* The intent of the milestone is to improve trust records management and retrieval by making images of trust documents available to those who require access to them. Three categories of documents are included in this effort: OTFM Daily Work, Tribal Jacket Folders, and IIM Jacket Folders. The imaging contract was awarded on November 29, 2000, to Los Alamos Technical Associates, Inc. for a base year plus two option years. An initial task order was issued for the imaging of the OTFM Daily Work Documents. Subsequent task orders will be required to address the remaining document categories.

Z. Publish Proposed Regulations for Compacted/Contracted Trust Program Records. *This milestone, scheduled to be completed by December 31, 2000, was met late.* The intent of the milestone was to "resolve any discrepancy regarding the status of the records" and required the Department to "draft proposed regulations for managing records produced under a P.L. 93-638 contract and self-governance compacts." Specific language that addressed the issue of records ownership as well as retention requirements was included as part of the rulemaking under *HLIP Subproject 9, Policies and Procedures* and are scheduled to take effect March 23, 2001. The language, which is consistent for all four parts published, 25 CFR Parts 15 (Indian Probate), 115 (Trust Funds for Tribes and Individual Indians), 162 (Leases and Permits on Indian Lands), and 166 (Grazing Permits on Indian Lands), states that records made or received by a tribe in the conduct of a federal trust function are the property of the United States and must be preserved in accordance with Departmental records retention procedures under the Federal Records Act. Such records are subject to inspection by Interior and the Archivist of the United States. These regulations remove the ambiguity regarding the status of trust function records maintained by tribes carrying out a federal trust function. Additional guidance will be issued in

2001 to provide specific instructions, suggest model language for contracts and compacts, or make explicit its coverage to all trust functions.

III. Summary of Ongoing Activities:

S. Establish Life Cycle Database (Inventory) for Trust and Other Records.

The population of the trust records inventory database is scheduled to be completed by December 2001. The Versatile records management software was selected in May 2000. During this reporting period, all of the application software was installed at the server level and the initial Structured Query Language database was built. The client software also was installed on several desktops. Web access software was implemented and tested. Initial data and process review has begun.

T. Establish Evaluation Teams and Begin Cyclic Evaluations of Records Programs.

During this reporting period, the Indian Affairs Records Management (IARM) staff conducted evaluations at ten BIA locations. As previously reported, evaluations identify major problems and establish priorities for records program improvements at the local level. To date, IARM has conducted evaluations at 43 BIA and OST locations where trust functions are performed. IARM expects to conduct evaluations at the remaining 53 BIA and OTFM locations by the end of 2001. In general, IARM has found that while local staff is properly managing current records, there are many older, inactive records that need to be transferred to a records center. This action will allow local staff to better focus on managing and safeguarding records needed for current work. Findings also indicate a need to better implement file plans which will allow for the intellectual control of active records. There is also a continuing need for records training at all levels.

Upon completion of this "first round" of evaluations, IARM will develop a schedule for continued evaluation of compliance with established requirements and the effectiveness of each location's records management program. IARM is following up with each location to determine whether action has taken place on specific recommendations or if additional assistance is needed. IARM is using this follow-up effort to assist with the development of local action plans as necessary.

DD. Complete Submission of Records Control Schedules to NARA. There was significant activity on this milestone this reporting period. IARM received detailed data from over 580 individual BIA program offices nationwide. The data includes information such as the types of records being maintained at each office, disposition instructions that are being created at each office, and any differences found between records series or retention periods. In addition, the IARM staff completed an analysis of the various records schedules that are either being used or that await approval by the National Archives and Records Administration (NARA). Further, during this reporting period, three IARM teams visited the BIA Headquarters Office and an agency location to conduct on-site, in-depth records inventories that will be used in the development of the records schedules.

EE. Establish Pilot Project(s) for Electronic Record Keeping. The FAX Capture project was initiated in January 2000. This pilot includes the design, development, and implementation of a system to capture incoming, faxed support documentation and match it to an electronic Trust Financial Accounting System (TFAS) transaction work ticket. This process will enable OTFM staff to act on the transaction by viewing the electronic image, thereby facilitating the process and eliminating duplicate paper. During this reporting period, the contractor (TREEV, Inc.) met with OTFM and OTR to clarify requirements and improve the design. The TREEV revision was submitted in January. Concurrently, improvements in the functionality of the electronic transaction work ticket improve the overall feasibility of the pilot. A second project is being evaluated as the Fax Capture project progresses.

HH. Complete Project to Clean Up Existing Disposition Backlog at BIA Agencies. During this reporting period the IARM staff visited 12 BIA locations to assess records backlogs and to identify records that can be transferred to a Federal Records Center (FRC) or other appropriate storage sites, or that can be disposed of pursuant to the General Records Schedule. During the reporting period, IARM approved the retirement of 249 boxes of inactive records from various BIA locations to the NARA Lee's Summit records facility in Missouri. In addition, IARM staff and their contractor, Iron Mountain, shipped over 1,900 boxes of records to the Iron Mountain Albuquerque facility. The contractor will sort, inventory, and prepare these records for retirement to Lee's Summit or disposal, as appropriate. Prior to this reporting period, the contractor work was being performed on-site (in Billings, Montana, for example) for months at a time. It was determined that using a staging facility in Albuquerque to clean up the records was a more efficient and economical way to accomplish the task. Plans are underway with Iron Mountain to open a second staging facility in Portland, Oregon, in February 2001. IARM staff met with senior management of the BIA Northwest Regional Office to develop an action plan for the systematic cleanup of records in that region. Initial discussions have also been held with the BIA Great Plains Regional Director.

IV. Changes/Corrections to the HLIP or Previous Quarterly Reports: None.

V. Milestone Chart for Records Management

The milestone chart for this subproject starts on the next page.

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**Records Management
Project Manager: Ken Rossman, OST**

		HLIP 2		
	Milestone Title	Date	Revised Date*	Status
Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.				
A.	Establish OST/BIA Working Group to Coordinate Joint Records Solution	02/11/98		Completed
B.	Transfer Trust Financial Records Responsibility to OST	03/05/98		Completed
C.	Develop Joint Procedures for Records Access.....	06/09/98		Completed
D.	Develop Agreement Between OST and BIA on Records Operations	06/09/98		Completed
E.	Plan/Gain Approval of Records Imaging Technology	06/30/98		Completed
F.	Commence Records Imaging Efforts	06/30/98		Completed
G.	Initiate Development of Records Control Schedules	09/30/98		Completed
H.	Develop an Agreed Upon Approach to Indian Trust Records Management.....	05/19/99		Completed
I.	Eliminate Existing Disposition Backlogs at BIA Agencies (Initiate, see HH).....	05/31/02	05/31/99 (4QR) ...	Completed
J.	Complete Systematic Centralization of OST Financial Trust Records.....	10/08/99		Completed
K.	Hire Records Management Specialists	01/31/00		Completed
L.	Develop & Issue Records Manuals, Training Aids & Technical Assistance	12/31/01		
M.	Train Records Staff & Trust-Related Program Personnel...	12/31/01		
N.	Lift BIA Moratorium on Retiring Records to Federal Records Centers	03/31/00	04/04/00 (2QR) ...	Completed
O.	Resolve Jacket Folder Retention/Production Issue with Tribes	Ongoing.....		Ongoing
P.	Analyze Records Storage Requirements (Initiate, see GG)	12/31/01	11/30/99 (3QR) ...	Completed
Q.	Survey Trust Records Retention and Safeguarding.....	12/31/99		Completed
R.	Establish Advisory Committee on Records.....	08/31/00	08/31/01 (3QR) ...	
S.	Establish Life Cycle Database (Inventory) for Trust and Other Records.....	12/31/01		
T.	Establish Evaluation Teams and Begin Cyclic Evaluations of Records Programs.....	04/30/00		Completed
U.	Initiate Training for Compacted and Contracted Trust Records	12/31/99		Completed
V.	Initiate Study of BIA Imaging Needs (see FF)	12/31/00	02/28/00 (4QR) ...	Completed
W.	Initiate Action to Replace Historical Records with Working Copies	05/30/00	02/28/00 (3QR) ...	Completed
X.	Review Trust Records Policies & Procedures with MMS, BLM, and DOI and Establish Continuing Dialogue.....	02/29/00	01/31/00 (2QR) ...	Completed
Y.	Award New Contract for OST Imaging	07/01/00	11/30/00 (3QR) ...	Completed
Z.	Publish Proposed Regulations for Compacted/Contracted Trust Program Records.....	12/31/00		Completed 01/22/01
AA.	Complete Plan to Comply with Electronic Records Regulations	03/31/01		
BB.	Complete Vital Records Plan.....	04/30/01		
CC.	Publish Trust Records Instructional Guide in Conjunction with MMS, BLM & OHA	12/31/00	12/31/01 (4QR) ...	
DD.	Complete Submission of Records Control Schedules to NARA	06/30/01		
EE.	Establish Pilot Project(s) for Electronic Record Keeping	12/31/00	12/31/01 (4QR) ...	
FF.	Complete Analysis of BIA Records Imaging Requirements	12/31/00	12/31/01 (4QR) ...	
GG.	Complete Analysis of BIA Records Storage Requirements	12/31/01		
HH.	Complete Project to Cleanup Existing Disposition Backlog at BIA Agencies	05/31/02		

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

9. TRUST POLICIES AND PROCEDURES

I. Statement of the Problem:

Proper management of Indian trust assets has been hampered by a lack of comprehensive, consistent, up-to-date regulations, policies, and procedures covering the entire trust cycle. Additionally, contemporary federal environmental protection statutes have placed agencies with little direct previous experience in managing Indian trust resources in the position of significantly affecting the use and disposition of Indian trust resources. This has resulted in program gaps and divergent practices, and a corresponding inability to ensure that consistent, sound policies and procedures are applied across the Department in its fulfillment of its trust responsibility. Moreover, there is a need for a comprehensive review of statutory and regulatory authorities and internal program guidance (such as procedural manuals or interagency agreements) to determine the need for revisions and/or the generation of new guidance.

II. Summary of Milestones Due this Quarter:

C1b. Develop Departmental Regulatory Initiatives: BIA First-Tier Trust Management Rules – Publish Final Rules. *This milestone was scheduled to be completed by December 31, 2000. This milestone was completed on January 22, 2001, after a short delay for OMB and White House clearance of the final regulations.* The final trust regulations were signed by the Assistant Secretary – Indian Affairs and submitted to the Office of Management and Budget (OMB) on December 20, 2000, cleared by the White House and OMB on January 11, 2001, and published in the *Federal Register* on January 22, 2001. The regulations are scheduled to become effective 60 days after publication, on March 23, 2001. The Special Trustee and the BIA have requested the Department's support to waive, for these regulations, the 60-day extension of the effective date ordered by the Administration. The Department is still reviewing whether the trust regulations are exempt from the extension under the January 20, 2001, memorandum, or should otherwise not be extended. Thus far, the regulations have not been extended, and will be effective on March 23, 2001. A final decision from the new Administration is expected soon.

The final regulations differ from the proposed rules in two significant respects. First, in response to public comments, the final Part 115 IIM Accounts regulations replace the subpart of the proposed rule that addressed the management and administration of IIM accounts for adults with the current Part 115 provisions. The BIA will re-propose this subpart of the regulations, incorporating the public comments received. Second, the enactment of the *Indian Land Consolidation Act (ILCA) Amendments of 2000* in November 2000, required that the proposed Part 162 leasing regulations be significantly amended from the proposal. Accordingly, the final leasing regulations primarily address agricultural leases, which are not impacted by the ILCA Amendments. The regulations also include enhanced payment collection and enforcement provisions applicable to all leases. The BIA will re-propose additional leasing regulations (e.g., for business

and residential leases) after the effects of the new legislation are determined. Other changes in the final rule incorporate the public comments.

C3b. Develop Departmental Regulatory Initiatives: OHA Publish Proposed Rules: *This milestone was scheduled to be completed on December 30, 2000, and was not met. A new date for the completion of this milestone is June 15, 2001.* This milestone first appeared as a Trust Policies and Procedures project milestone in the *Second Quarterly Report* (see *Second Quarterly Report* at pp. 20-21), but did not appear in the Milestone Chart in the appendix of that report. The publication date for OHA final rules has been changed to October 31, 2001, to match the HLIP Probate chapter. In light of the publication date of the final rules, the publication of the proposed rules has been postponed to June of 2001.

E. Analyze Departmental Functions Relating to Trust Resources. The reports received under this milestone contain the results of the analyses performed by the bureaus and offices reporting during this quarter, with proposed schedules for revisions or development of statutory authorities, regulations, and internal program guidance. These reports are laying the groundwork for Milestone F, when the Trust Policies and Procedures staff will present crosscutting policy issues to the Department's Trust Policy Council along with recommendations for resolving any problems identified. The Trust Policies and Procedures Subproject Office continues to assist the Department's bureaus and offices in their analyses of their regulations and internal policies governing their Indian trust activities.

E5. Office of Surface Mining, Reclamation and Enforcement (OSM): *This milestone was scheduled to be completed November 30, 2000. This milestone date was met.*

E6. Minerals Management Service (MMS): *This milestone was scheduled to be completed November 30, 2000. This milestone date was met.*

III. Summary of Ongoing Activities:

C2c. MMS – Further Action. As reported in the *Second Quarterly Report*, publication of the MMS final rule addressing the valuation of oil produced from leases on Indian trust lands will be held in abeyance until the Department has fully considered the implications of other litigation.

E8. Bureau of Indian Affairs (BIA): The Trust Policies and Procedures staff is developing its analysis of trust resource functions under this milestone, which is due March 31, 2001. The staff is analyzing the inventory of policies and procedures completed under Milestone D2, and is polling Tribal leaders, BIA trust program officials, and BIA regional directors to obtain their recommendations on necessary revisions to legislation, regulations, and internal program guidance.

IV. Changes/Corrections to the HLIP or Prior Quarterly Reports:

C3b. OHA – Publish Proposed Rules: This milestone date has been extended to June 15, 2001, after consultation with the Special Trustee. As noted in the *Second Quarterly Report*, the substance of the OHA probate regulation could not

be determined until the BIA rulemaking process was completed. The date initially selected, December 30, 2000, cannot accommodate the current circumstances. First, because important information was obtained during the Tribal consultations and the public comment period, the substance of the BIA regulation was not finally determined until late Fall 2000, which prevented the OHA from being able to develop a proposed rule. As a result of the information received, the BIA's final probate regulation contains several changes from the proposed rule. Therefore, OHA will require additional review time to craft corresponding proposed rules. Second, Executive Order 13175, "Consultation and Coordination with Indian Tribal Governments" (November 6, 2000), will apply to the OHA regulation. Finally, the Secretary of the Interior has announced new procedures for clearing any Indian affairs regulatory matters. The additional actions that will be necessary to comply with this Order and the new DOI procedures for compliance have not yet been determined.

C3c. OHA – Publish Final Rules: Extension of Milestone 3b above will require a corresponding extension of this milestone for the publication of final rules. Therefore, this milestone date is changed to October 31, 2001.

V. Milestone Chart for Policies and Procedures

The milestone chart for this subproject starts on the next page.

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Policy and Procedures
Project Manager: Art Gary, AS-IA

		HLIP 2		
	Milestone Title	Date	Revised Date*	Status
Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.				
A.	Designate Department-Level Project Manager & Transfer Subproject from OST to BIA			
	A1. Transfer of Subproject.....	08/31/99		Completed
	A2. Staffing of Subproject.....	06/30/00		Completed
B.	Develop Trust Principles for Departmental Management of Indian Natural Resources and Money			
	B1. Initial Draft of Trust Principles.....	11/30/99		Completed
	B2. Tribal Consultations.....	12/31/99		Completed
	B3. Departmental Clearance.....	04/30/00		Completed
C.	Develop Departmental Regulatory Initiatives			
	C1. BIA			
	C1a. Publish Proposed Rules.....	06/30/00		Completed
	C1b. Publish Final Rules.....	12/31/00		Completed 01/22/01
	C2. MMS			
	C2a. Modify Proposed Rules.....	01/05/00		Completed
	C2b. Comment Period Closes.....	03/06/00		Completed
	C2c. Further Action.....	TBD		
	C3. OHA			
	C3a. Publish Interim Final Rule.....	XXXXXX	05/02/00 (2QR) ...	Completed
	C3b. Publish Proposed Rules.....	XXXXXX	12/30/00 (2QR) ...	Changed to 06/15/01
	C3c. Publish Final Rules.....	TBD	07/31/01 (4QR) ...	Changed to 10/31/01
D.	Identify Departmental Programs and Functions that Affect Indian Trust Resources			
	D1. Prepare Agency Guidance Memorandum.....	XXXXXX	05/09/00 (2QR) ...	Completed
	D2. BIA.....	09/30/99		Completed
	D3. OST.....	05/30/00		Completed
	D4. OSM.....	05/30/00		Completed
	D5. OHA, BOR.....	05/30/00		Completed
	D6. MMS, BLM, USGS.....	06/30/00		Completed
	D7. NPS.....	07/31/00		Completed
	D8. FWS.....	07/31/00		Completed
E.	Analyze Departmental Functions Relating to Trust Resources:			
	E1. OST.....	08/31/00		Completed
	E2. OHA.....	09/30/00		Completed
	E3. BOR.....	09/30/00		Completed
	E4. USGS.....	09/30/00		Completed
	E5. OSM.....	10/31/00	11/30/00 (4QR) ...	Completed
	E6. MMS.....	11/30/00		Completed
	E7. FWS.....	02/28/01		
	E8. BIA.....	03/30/01		
	E9. BLM.....	10/31/00		Completed
	E10. NPS.....	02/28/01		
F.	Analyze Cross-cutting Issues and Problems.....	07/31/01		
G.	Develop and Publish Revised Regulations.....	06/30/04		
H.	Revise and Develop Internal Program Guidance Where Needed.....	TBD		
I.	Develop Statutory Revisions.....	12/31/02		

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

10. TRAINING

I. Statement of the Problem:

Lack of adequate training of staff to deliver Indian trust fiduciary responsibilities to American Indians has been cited in numerous Office of the Inspector General and General Accounting Office reports as a problem area. In addition to a historic lack of adequate training, new trust accounting and asset management systems are being installed to improve the discharge of the Secretary's trust responsibilities to those American Indian tribes and individuals for which the Federal government holds and manages assets in trust, the comprehension and use of which will require a coordinated and specialized training effort.

II. Summary of Milestones Due this Quarter:

No milestone due dates fell within this reporting period.

III. Summary of Ongoing Activities:

D. Deliver TAAMS Training Consistent with TAAMS System Deployment for BIA Areas. TAAMS training is conducted in conjunction with system deployment. To date, training has been provided to all title plant staff in the Rocky Mountain, Southern Plains, Alaska and Eastern Oklahoma regions. Some DataCom Sciences, Inc. employees also have been trained to work on TAAMS. Rocky Mountain Region Realty staff and a sampling of major users from around the country have been trained on the leasing module so that they can participate in the module development effort.

E. Provide Remedial Systems Training (TFAS and TAAMS) Where Requested. As it is requested, remedial TFAS and TAAMS training is provided. TFAS post-conversion, review training and training on TFAS enhancements has been offered to 60 OTFM field staff and 13 other OST staff. TFAS overview training has been conducted for 138 OST, BIA and external auditing staff during this quarter.

N. Implement Training. Some 3,000 Indian trust asset management employees from several Departmental bureaus and offices, as well as trust personnel from contracting and compacting Tribes, have been identified as the audience for the non-systems training program. Notices informing these employees of the classes to be offered and the class registration process have been distributed, and work to publicize the training program continues. An on-line registration system put in place for employees to utilize to sign-up for courses also will assist OST in tracking those employees who have had training and those who still need to attend training courses. This database further will provide a forum for on-line discussions, and will post answers to frequently asked training questions. Student evaluations of the training courses will be compiled, tracked and reviewed to assess further course developments and measure training effectiveness.

O. Schedule and Deliver Non-Systems Training. A pilot of the Trust Foundations 1 course, the first class to be provided, was held in Shawnee,

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Oklahoma on December 18-19, 2000, to evaluate the content and delivery of the draft curriculum. At the conclusion of the pilot, the trust asset management professionals in the audience provided feedback and comments to the Upper Mohawk Inc. course developers. On January 16-17, 2001, a revised course curriculum was presented to contractor staff in Dayton, Ohio by three of the trainers hired to provide course instruction. Comments received following this presentation resulted in additional modifications to the course.

The comprehensive rollout of the non-systems training program began in January 2001, when the first course, Trust Foundations 1, was offered. This two-day course was offered January 30-31, 2001 to audiences of trust asset management employees in the following locations: Shawnee, Oklahoma; Phoenix, Arizona; and Albuquerque, New Mexico. The training schedule runs through March 2001, with training offered at several locations nationwide on a weekly basis. This schedule is available on the OST web site. As the class rollout continues, the schedule will continue to be updated.

IV. Changes/Corrections to the HLIP or Previous Quarterly Reports: None.

V. Milestone Chart for Training

Subproject Manager: Richard Fitzgerald, OST

	Milestone Title	HLIP 2 Date	Revised Date*	Status
	Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.			
A.	Schedule and Deliver Training for 105 Personnel by TFAS Contractor	07/31/98		Completed
B.	Provide TFAS Systems Training in Line with Deployment	03/31/00		Completed
C.	Design, Schedule and Deliver TAAMS Systems Training for Rocky Mountain Pilot	09/30/99		Completed
D.	Deliver TAAMS Training Consistent with TAAMS System Deployment for BIA Areas.....	Ongoing.....		Ongoing
E.	Provide Remedial Systems Training (TFAS and TAAMS) Where Requested.....	Ongoing.....		Ongoing
F.	Acquire External Professional Services of Training Contractor	01/15/99		Completed
G.	Obtain Training Information from Trust and Realty Employees.....	04/19/99		Completed
H.	Review Draft Training Plan for Non-Systems Training	06/30/00		Completed
I.	Identify/Select Training Management Contractor	06/30/00		Completed
J.	Finalize and Approve Training Plan for Non-Systems Training.....	08/31/00		Completed
K.	Award Contracts to Training Providers.....	08/31/00		Completed
L.	Identify Existing Courseware to Meet Skills Gap for Other Training.....	10/31/99		Completed
M.	Develop Courseware Not Available for Non-Systems Training	09/30/00	03/31/01 (4QR) ...	
N.	Implement Training	Ongoing.....		Ongoing
O.	Schedule and Deliver Non-Systems Training	Ongoing.....		Ongoing

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

11. INTERNAL CONTROLS

I. Statement of the Problem:

For decades, Tribes and individual Indians have voiced concerns over the Department's management and accountability for their trust funds and the overall management of natural resources.

Reviews conducted over the past 15 years by the GAO, the DOI's Inspector General, and independent accounting firms have confirmed Indians' concerns and identified serious financial management and internal control problems permeating every aspect of the trust management spectrum. These audit and external oversight findings and recommendations have focused on serious internal control problems and variances in program operations ranging from a lack of standardized policies, practices and procedures to the inability to confirm cash balances, and major inadequacies in accounting records and related systems, lack of segregation of duties and deficiencies in field operation and management areas including collections and disbursements of Indian trust funds.

II. Summary of Milestones Due this Quarter:

E. Develop Organization and Staffing for Trust Risk Management Office.

This milestone, scheduled to be completed by December 31, 2000, was met. The Office of Trust Risk Management (OTRM) was formally established on September 29, 2000. OTRM has filled five positions and supplemented its staff through an interagency agreement with the Minerals Management Service. Several positions, including three senior team leader positions, were announced in mid-December. Staffing for the two additional teams is scheduled to be accomplished throughout the remainder of the fiscal year after the applications for the senior positions are evaluated and selections completed. The hiring schedule and the final determination of the number of review teams and the number of positions on each team may be impacted as a result of the Administration's review of hiring decisions.

M. Publish Final Risk Management Program Handbook. *This milestone, scheduled to be completed by November 30, 2000, was met.* The Risk Management Program Handbook was published November 30, 2000, and distribution of the Handbook has begun. Meetings to open discussions for endorsing existing programs or, where necessary, to implement new programs utilizing provisions of the Handbook started in January.

N. Establish Continuing Risk Management Presence to Prevent Relapses.

This milestone, scheduled to be completed by December 31, 2000, was met. All past audit or program deficiencies previously reported have been identified, assessed and reviewed to ensure corrective action has been implemented or that the implementation of HLIP projects would accomplish resolution. The *Risk Management Program Plan* was issued in September 2000, and the implementing *Risk Management Handbook* was completed in November 2000. Surveys and evaluations of critical program elements in each bureau or office responsible for Trust Asset Management activities are being planned and/or

conducted to ensure each either has a documented operable internal controls program or one is developed and implemented using the provisions of the Program Plan and Handbook. These surveys and evaluations will also include steps to ensure that each location/office that has previously been reported to be deficient in trust asset management functions has taken, and continues to practice, corrective measures to preclude recurrence of the deficiencies.

A program implementation plan that provides for visits to all bureaus and offices involved in trust asset management to begin in January has been developed. Through the end of January, six of 12 headquarters offices had been visited.

III. Summary of Ongoing Activities:

K. Coordinate with Affected Bureaus/Offices to Develop Acton Plans. In addition to the coordination processes already established with the Policies and Procedures project, several other coordination points have been established. This quarter, OTRM began to coordinate training requirements for internal controls into the overall trust training programs being developed by the HLIP training subproject and its contractor. OTRM staff are also involved in the probate backlog and TAAMS probate development teams and have coordinated several efforts to begin to include internal control requirements and programs with the information technology staff involved in the TAAMS development.

IV. Changes/Corrections to HLIP or Previous Quarterly Reports: None

V. Milestone Chart for Internal Controls

The milestone chart for this subproject starts on the next page.

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Internal Controls

Project Manager: Ken Moyers, OST

	<u>Milestone Title</u>	<u>HLIP 2 Date</u>	<u>Revised Date*</u>	<u>Status</u>
	Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.			
A.	Develop Inventory of Internal Control Weaknesses	05/29/98		Completed
B.	Catalogue Relevant Audit Findings into Analysis Framework.....	05/29/98		Completed
C.	Research and Select Template for Risk Management Program	02/12/99		Completed
D.	Identify and Develop Remediation for Acute Internal Control Weaknesses	06/03/99		Completed
E.	Develop Organization and Staffing Proposal for Trust Risk Offices.....	12/31/00		Completed
F.	Map Weaknesses to Current Improvement Efforts.....	04/30/00		Completed
G.	Analyze Weaknesses to Determine Current Status -Resolved/Unresolved	05/30/00		Completed
H.	Modify "Treadway" Approach to Interior Situation; Develop Monitoring Procedures.....	07/31/00		Completed
I.	Inventory and Catalogue Internal Controls			
	11. TFAS component	08/31/00		Completed
	12. TAAMS component	08/31/00	TBD (4QR)	TBD
	13. MMS component	08/31/00	10/31/01 (4QR)	
J.	Risk Management Program Final Draft	08/31/00		Completed
K.	Coordinate with Affected Bureaus/Offices to Develop Action Plans	09/30/00	Ongoing (4QR)	Ongoing
L.	Coordinate Risk Management Program with Revised Trust Policies and Procedures	10/31/00		Completed
M.	Publish Final Risk Management Program Handbook	11/30/00		Completed
N.	Establish Continuing Risk Management Presence to Prevent Relapses.....	12/31/00		Completed

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

1. COLLECTION OF MISSING INFORMATION FROM OUTSIDE SOURCES

I. Objective:

This effort is designed to: 1) describe the nature and extent of IIM trust accounts since passage of the *American Indian Trust Fund Management Reform Act of 1994*; 2) present a logical approach to assess the state of documentation, information and data available and necessary for the Department of the Interior to meet its obligations under the Act; 3) identify approaches and options for gathering missing documents, information and data from third parties to supplement the Department of the Interior's present files; and, 4) commence the planning, decision process and programming of personnel and budget resources that will be necessary for the successful gathering and organization of documents, information and data from third parties.

II. Summary of Milestones Due This Quarter:

No milestone due dates fell within this reporting period.

III. Summary of Ongoing Activities:

G. Expand Collection of Missing Information, Documents and Data from 3rd Parties. OST, through a contractor, has completed the development of procedures for recovering missing documents that identify the types of records relevant to an accounting, search strategies, locations and identification of potential third-party sources. These procedures will be implemented in an effort to expand the current OST collection of identified missing documentation. Only missing source or type information related to an accounting of IIM financial transactions will be searched. These procedures will be applied and tested as selected IIM transactional data is reviewed and analyzed and missing information is identified.

An expanded effort to collect missing information and documentation is anticipated as the IIM electronic historical database and pilot project are developed. Detailed analysis of the transactional historical data in the development of the database and during the pilot may assist in determining whether documentation is missing. As missing documentation groups or types are identified, the procedures developed will be tested and utilized to conduct document searches. Searches will be expanded where necessary to sources such as the Department of Treasury, BLM, MMS, General Accounting Office, lessees, account holders and other electronic databases (i.e. MMS) in accordance with the procedures.

Other Significant Ongoing Activities:

The project continues to assess and test the feasibility of an electronic historical database for IIM accounts, as the data is recovered and merged. The recovered data will be analyzed and assessed for availability, content and compatibility with data from other systems. Contractors have begun the first phase of gathering

data from various legacy systems beginning with a prototype based on two BIA locations. The data from the prototype is currently being analyzed. The feasibility of merging the electronic data for the remaining BIA area legacy systems with the IIM transaction history will be ongoing as information and results become available.

A pilot project that will utilize data available in the IIM historical transaction database (from October 25, 1994 forward) and other electronic data available for selected IIM transactions and/or accounts is planned for next quarter. The processes, procedures and "Selected Methodology" (Milestone I) will be utilized and tested. Data from the pilot will be used to test and refine document retrieval procedures.

IV. Changes/Corrections to the Project Plan or Previous Quarterly Reports:
 This project is now managed by a team of senior trust managers consisting of Tom Thompson, Principal Deputy Special Trustee, Donna Erwin, Director, Office of Trust Funds Management, Ken Rossman, Director, Office of Trust Records and Ken Moyers, Director, Office of Trust Risk Management. This team was selected due to the wide scope of activities affected by the search for missing documents.

**V. Milestone Chart for Collection of Missing Information from Outside Sources
 Subproject Manager: DOI Senior Trust Managers**

		HLIP 2		
	Milestone Title	Date	Revised Date*	Status
<u>Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.</u>				
A.	Acquire Project Staff and Funding	10/31/00	03/31/01 (4QR)...	
B.	Determine the Elements of an Appropriate "Accounting" for IIM Account Holders.....	08/31/00		Completed
C.	Review Existing Policies for Record Retention Requirements Imposed on External Parties by DOI.....	07/31/00	10/31/00 (3QR)... 08/04/00 (4QR) ..	Completed
D.	Establish Policy on Documents, Information & Data Required to Perform an "Accounting" in the DOI Context	07/31/00		Completed
E.	Assess Feasibility of Developing a Complete Electronic Transaction History File for IIM Accounts.....	07/31/00		Completed
F.	Assess Condition and Status of Documents, Information and Data in DOI's Possession	09/30/00		Completed
G.	Expand Collection of Missing Information, Documents and Data from 3rd Parties	Ongoing.....		Ongoing
H.	Decision on Methodology of Researching Missing Mandatory Documents in IIM File Folders	09/30/00	03/31/01 (4QR)...	
I.	Initiate a Pilot Using the Chosen Methodology for a Small Sample of IIM Accounts to Assess Effectiveness and Efficiency of Methodology.....	06/30/01		
J.	Assess Results of Pilot and Elect Course of Action for Addressing the Balance of IIM Trust Accounts	07/31/01		

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

2. RETENTION OF IIM-RELATED TRUST DOCUMENTS

(See report under Chapter 8: Records Management, page 35)

3. COMPUTER AND BUSINESS SYSTEMS ARCHITECTURE FRAMEWORK PLAN

I. Objective:

The objective is to provide the blueprint for defining and mapping business processes within the trust management activity from existing procedures and systems to the new operating environment.

II. Summary of Milestones Due this Quarter:

E. Data Architecture. *This task, scheduled to be completed by November 30, 2000, was met.* This task was established within the planning framework to identify and define the major kinds of data that support Indian trust management business functions and activities. The Data Architecture task comprises the first of the three major architectures that are planned in the project and provides the initial project “blueprint,” to be followed by an Applications Architecture and Technical Architecture.

The Business Model, completed September 29, 2000, captured and defined the Indian trust community’s business activities and formed the basis for this task. It has been updated based on the additional information learned in establishing the Data Architecture. In completing this task, the working group formally established 51 “Data Objects” that capture the various types of information that are actually required to perform basic business activities in the Indian trust management arena. In that vein, “data architecture” groupings were established to capture the information flow as it relates to accomplishing vital business functions. [For example, the “financial document” grouping was established to record any type of activity relating to financial accounts.] In establishing the Data Architecture, the working group has also defined characteristics of these data objects and identified their various interrelationships within the normal business of Indian trust management. Based on this work, the data that supports the business functions and the necessary flow of information has now been incorporated into the Data Architecture.

The Data Architecture will provide an understanding of data in the context of the business activities from a holistic perspective, thereby establishing a foundation for developing further applications to manage data for the entire community as well as future databases. Additionally, it will ensure that data redundancy and inconsistency can be minimized. The two additional architectures will be developed on the Data Architecture foundation.

F. Applications Architecture. *This milestone, scheduled to be completed by January 15, 2001, was met.* The Applications Architecture constitutes the second of three architectures planned in this subproject and was completed and published January 13, 2001.

The working group has identified 22 applications within this task that describe the automated capabilities needed to conduct Indian trust management business (focusing on managing data through such mechanics as entering, editing,

sorting, changing, summarizing, archiving, analyzing, and referencing data). Rather than specifying technology elements or design details, this task provides a high-level description of each of the automated capabilities or applications in terms of what they do to support the Trust Management business.

This “blueprint” of the automated capabilities or applications maps all of the resources needed to support the business and shared environment. It provides documentation and descriptions of the architecture and is a reference tool to assure that the various components of the project’s overall Enterprise Architecture Planning methodology are properly integrated.

III. Summary of Ongoing Activities:

The Architecture Workgroup meets on an ongoing basis to plan, develop, and review each of the project deliverables. This is critical as the Enterprise Architecture Planning approach used in this project is based on a “building block” process recognizing that each phase impacts others, as well as that subsequent phases may include data gathering efforts that will improve the quality of earlier products.

IV. Changes/Corrections to the Project Plan or Previous Quarterly Reports: None

V. Milestone Chart for Computer and Business Systems Architecture Framework Plan

Subproject Manager: Julia Laws, PMB

HLIP 2

	<u>Milestone Title</u>	<u>Date</u>	<u>Revised Date*</u>	<u>Status</u>
	Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.			
A.	Initiate Trust Management Architecture Project			
	A1. Select Planning Team to Prepare Initial Guidance on Architecture Planning	01/15/00		Completed
	A2. Determine and Establish Organization to Manage Architecture	03/15/00		Completed
	A3. Define Scope of Architecture Project.....	02/01/00		Completed
	A4. Determine Architecture Methodology	01/18/00		Completed
	A5. Gather and Review Reference Documents.....	02/07/00		Completed
	A6. Build Electronic Library of Documents.....	03/15/00		Completed
	A7. Inventory Applicable Policies and Procedures	03/28/00		Completed
	A8. Develop Detailed Work Plan for Architecture Project.....	04/15/00		Completed
	A9. Appoint an Overall Architecture Project Manager	02/16/00		Completed
	A10. Develop Resource Requirements	04/15/00		Completed
B.	Business Modeling (Preliminary)	08/01/00		Completed
C.	Enterprise Survey (Final Business Model).....	10/01/00		Completed
D.	Current Systems & Technology	07/01/00		Completed
E.	Data Architecture	11/30/00		Completed
F.	Applications Architecture	01/15/01		Completed
G.	Technology Architecture.....	04/15/01		
H.	Implementation Plan	06/01/01		
I.	Planning Conclusions - Final Report.....	08/15/01		
J.	Transition to Implementation	TBD		TBD

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

4. WORKFORCE PLANNING

I. Objective:

The objectives of this plan are: 1) to ensure adequate staffing requirements and associated funding are reflected in the budget development process to meet the full personnel needs of trust management business functions consistent with statutory requirements; and 2) to ensure workforce planning is done in a timely fashion and that there is consistency, where appropriate, among the organizations.

II. Summary of Milestones Due this Quarter:

K. Forecast Future: Examine Organizational Objectives and Identify Workforce Competencies Needed to Achieve Them. *This milestone was scheduled to be completed January 31, 2001. This milestone date was not met.* A new date for the completion of this milestone is April 30, 2001. Upon analysis of accumulated workforce data at the conclusion of the previous quarter, it was determined that a more in-depth survey of the BIA and the BLM workforces and workloads was necessary to forecast future workforce competency and skill requirements. To more accurately predict the workload, program managers also added a requirement to similarly survey Tribal compact and contract employees. In addition, OTFM asked to be included in the contract to evaluate the collection and funds management functions under the Trust Funds Accounting System (TFAS). All of these surveys and assessments must be accomplished with contractor assistance and the involvement of trust management program managers and employees. The surveys will assess workforce roles and workloads as related to the Computer and Business Systems Architecture Business Model.

Prior to letting this contract, trust management program managers developed a statement of work (SOW) that will fulfill their workforce planning requirements. The SOW and the contracting process were completed in December 2000, and the contractor, Booz-Allen and Hamilton, Inc., began its work in early January 2001. The contract performance period will end on April 21, 2001. BIA, BLM, and OTFM trust management program managers will then use the data provided in developing their FY 2003 and FY 2004 workforce plans as called for in future milestones.

III. Summary of Ongoing Activities:

In this second phase of workforce planning, the focus is on clear identification of trust management work activities and the staffing requirements of the BIA, BLM and OTFM to successfully perform Indian trust management work. At the conclusion of this phase, trust managers will be provided data needed to forecast future workforce requirements in relation to organization objectives, identify skill shortages and surpluses, and develop plans to ensure required skills are hired and/or developed.

IV. Changes/Corrections to the Project Plan:

K. Forecast Future: Examine Organizational Objectives and Identify Workforce Competencies Needed to Achieve Them. The completion date for Milestone K is changed to reflect a new target date of April 30, 2001. Milestone K and Milestone M are corollary processes that are addressed in consort to develop final workforce plans. The extension is necessary for the contractor to collect and analyze the data.

M. Identify Competency Gaps and Surpluses Based on FY 2001 Appropriations from Congress. The completion date for Milestone M is changed to reflect a new target date of April 30, 2001. Milestone M and Milestone K are corollary processes that are addressed in consort to develop final workforce plans. The extension is necessary for the contractor to collect and analyze the data.

V. Milestone Chart for Workforce Planning

The milestone chart for this subproject starts on the next page.

Quarterly Report to the Court Number Five

**Workforce Planning
Project Manager: Carolyn Cohen, PMB**

HLIP 2

<u>Milestone Title</u>	<u>Date</u>	<u>Revised Date*</u>	<u>Status</u>
<i>Milestones due or changed this report cycle (11/01/00 – 01/31/01) are shaded.</i>			
A. Conduct Preliminary Workforce Planning Review in Trust Management Organizations and Determine Workforce Planning Requirements and Schedule	02/29/00		Completed
B. Develop Statement of Work and Provide to Contractor.....	03/13/00		Completed
C. Award Contract.....	03/20/00		Completed
D. Designate Workforce Planning Project Manager and Bureau/Office Planning Team Members.....	03/20/00		Completed
E. Provide Bureau/Office Workforce Planning Instructions.....	03/20/00		Completed
F. Bureau/Office Kick-off Meetings with Contractor.....	03/24/00		Completed
G. Strategic Planning: Validate and/or Update Existing Workforce Plans and/or Initiate Process for Developing Detailed Workforce Plans	06/01/00		Completed
H. Scan Environment: Analyze Workforce Competencies	04/30/00		Completed
I. Current/Future State: Initial Projection of Workforce Needs for FY2002 Based upon analysis of Present Workforce, and Develop Budget Recommendations	06/01/00	10/01/00 (3QR) ...	Completed
J. Examine Contractor and Bureau/Office FY 2002 Budget Recommendations for Submission to OMB, OST/Departmental Budget Office, Refine Recommendations Based on Feedback from OST and OMB.....	02/01/01		
K. Forecast Future: Examine Organizational Objectives & Identify Workforce Competencies Needed	10/30/00	01/31/01 (3QR) ...	Changed to 04/30/01
L. Hire Personnel in Accordance with FY 2001 Budgets Appropriated by Congress, Consistent with Existing Workforce Plans.....	09/30/01		
M. Identify Competency Gaps and Surpluses Based on FY 2001 Appropriations from Congress	12/31/00	03/31/01 (3QR) ...	Changed to 04/30/01
N. Develop Plan to Transition from Workforce per the FY2001 Enacted Budget to Future Workforce	04/30/01	05/31/01 (3QR) ...	
O. Develop Budget Recommendations to Reflect Efficiencies or Further Requirements Identified thru Business Process Reengineering and Needed Improvements Based on Other Trust-Related Activities	06/01/01	07/01/01 (3QR) ...	
P. Examine Contractor and Bureau/Office FY 2003 Budget Recommendations for Submission to OMB, OST/Departmental Budget Office, Refine Recommendations Based on Feedback from OST and OMB.....	02/01/02		
Q. Implement Transition Plan Based on Appropriations Obtained from Congress for FY 2002, Monitor Effectiveness and Success.....	10/01/01		

* Revised Date column shows any extension from the original milestone due date. The parenthetical number is the Quarterly Report in which the change was explained.

APPENDIX A – PRE AND POST DEPLOYMENT DATA CLEANUP TASKS: DESCRIPTIONS

100N Number - In the past, the BIA assigned 100N Numbers to lineal descendants of enrolled members who did not formerly meet the criteria to become enrolled members. This task involves the identification of all ID numbers associated with any individual who currently has a 100N number assigned and to successfully change all alias ID numbers to one ten-digit, Tribal ID Number.

Administrative Modification Encoding - This task entails encoding a backlog of administrative modifications previously not entered into the system of record.

Backlog (Document Processing) - This task involves the preparation, encoding, and documentation of the Land Title and Records Office document backlog.

Backlog (Global Requests from Agencies) - The purpose of this task is to assist the BIA with encoding a backlog of requests for global changes in the system of record.

Backlog (Recordation of PSFO Documents) - The purpose of this task is to assist the BIA by encoding a backlog of documents into the LRIS recordation module. This task entails assigning document numbers, recording the documents into the LRIS recordation module, and microfilming the documents.

BIA Assigned Administrative Probate Modifications - The purpose of this task is to assist the BIA by processing a backlog of enrollment verifications that require administrative modifications.

Current Agency Global Requests - The purpose of this task is to assist the BIA with encoding current requests for global changes in the system of record.

Fee Owner ID Task - The purpose of this task is to identify non-Indians who have inherited land interests. Once these individuals are identified, research is done to locate an existing identification number and verify its correctness. If no identification number is located, a number is then assigned.

Godzilla Task - This task involves researching and correcting conflicting land descriptions for tracts of land in LRIS.

IIM ID Match - This task pertains to the verification of ownership information between IIM accounts and the Integrated Records Management System.

Lease Owner Inquiry - The purpose of this task is to determine distribution by comparing LRIS and IRMS reports with the decedent's probate.

Legal Land Description Cleanup (Metes and Bounds Task) - The purpose of this task is to locate the original documents that describe a tract's land description and determine if these documents are feasible for scanning into the TAAMS database. A "Godzilla" report will determine all tracts and documents.

Multiple Owner ID Task - The primary purpose of the Multiple Owner Identification Task is to determine the correct identification number for several individuals identified as *anomalies* in the BIA Land Record Information System and Integrated Record Management System. The individuals on these *anomaly lists* have land interests in these systems under more than one ID number. Once the correct number is determined, personnel update the systems to coincide with hard-copy land title documents and records.

Non-Enrolled ID Number - The purpose of this task relates to the ID numbers of several individuals containing an alpha code of “N” which indicates that the individuals are non-enrolled. The primary purpose of this project is to determine if these individuals have enrolled since the issuance of the ID number containing the “N” alpha code. In most instances, this will require agency verification.

Payment File Verification - This task entails the verification of the legal descriptions and tract numbers from Realty Modules and hardcopy records at the agency/field offices against data in the Lands Record Information System. Once personnel verify the tract numbers and legal descriptions, they verify all ownership as well.

TAAMS Information Migration Evaluation Task (TIME) - The purpose of the TIME Task is to compare original title documents to data housed in LRIS and TAAMS for pre- and post-conversion statistical assessments. Document samples are randomly derived from LRIS and scanned by on-site cleanup personnel for centralized review and comparison by independent assessors located in Albuquerque. Samples are based on 100 individually selected tracts by region and a predetermined percentage of total documentation contained in LRIS.

Title Tract Match - This task pertains to the verification of legal descriptions between the LRIS and IRMS.

The following tasks pertain only to the Alaska Region:

Title Examination Task- This process involves understanding all documents found in the tract folder, researching the Alaska Title Service Center (ATSC) databases, extracting LRIS reports, and reviewing the Alaska Land Information System (ALIS) website for information relevant to that particular tract being examined. Personnel bring all of this information together to create an accurate land description, ownership, conveyance of ownership, and history of the tract before encoding into TAAMS. Once the examiners research these documents and extract the appropriate title information from its sources, the examiner uses a form called a “chain sheet” to record the title information. ATSC has requested that the BIA Data Cleanup project provide them with complete accurate chain sheets.

Chain Sheet Review Task - Data cleanup personnel perform an internal quality check of the work placed on the chain sheet before encoding and sending to ATSC. The reviewer analyzes the original file documents and researches documents to determine if the information on the sheet is accurate and acceptable for the next task. If it is not accepted, the reviewer returns it for further examination.

TAAMS Encoding Task - Personnel encode title and conveyance information located on the chain sheet to the appropriate TAAMS modules to build individual tract and conveyance history.

TAAMS Review Task - This task is also an internal quality check put in place to assure that the information encoded into TAAMS is accurate and to ensure compliance with all standards before the BIA reviews the encoded tracts.

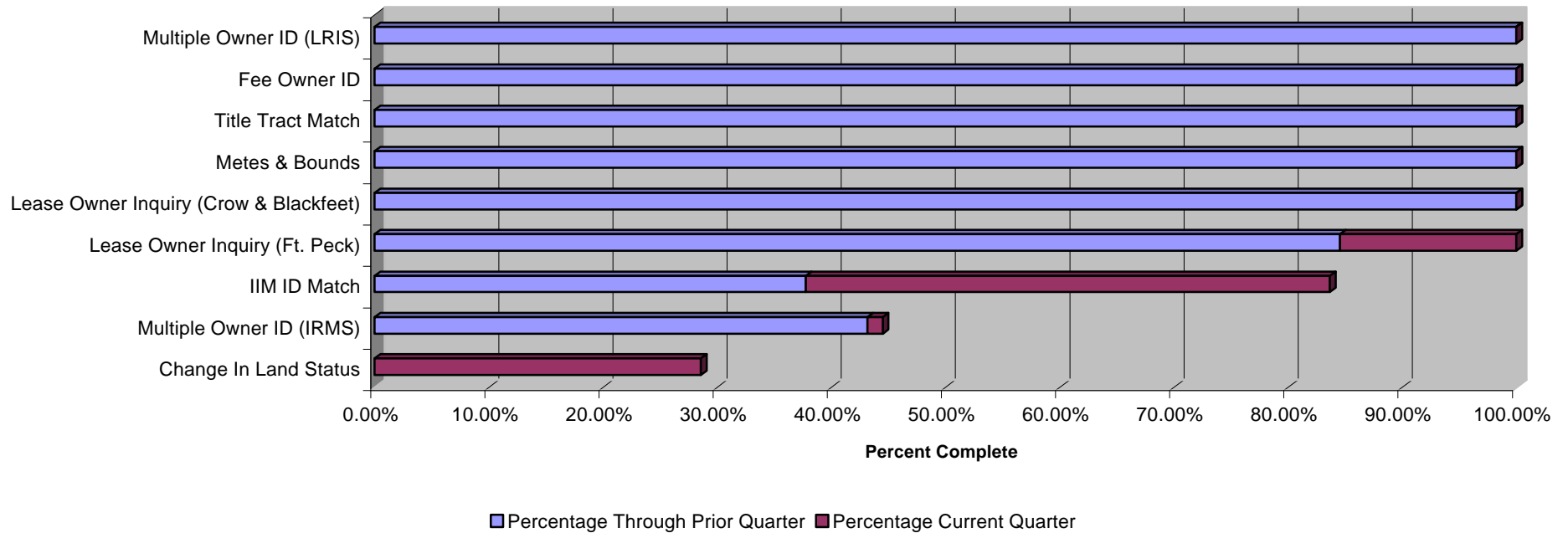
The following tasks pertain only to the Eastern Region:

Document Acquisition/Inventory Task - The purpose of this task is to review files to locate legal land documents, record for record retention purposes, and determine what information is missing on behalf of each Tribe under the jurisdiction of the Eastern Region. Once personnel identify, review, tag, inventory, classify, and encode these documents into a DataCom database, they duplicate the documents for verification of the classification given to each record.

Microfiche Inventory Task - The purpose of this task is to inventory microfiche files and verify the documents contained in each file.

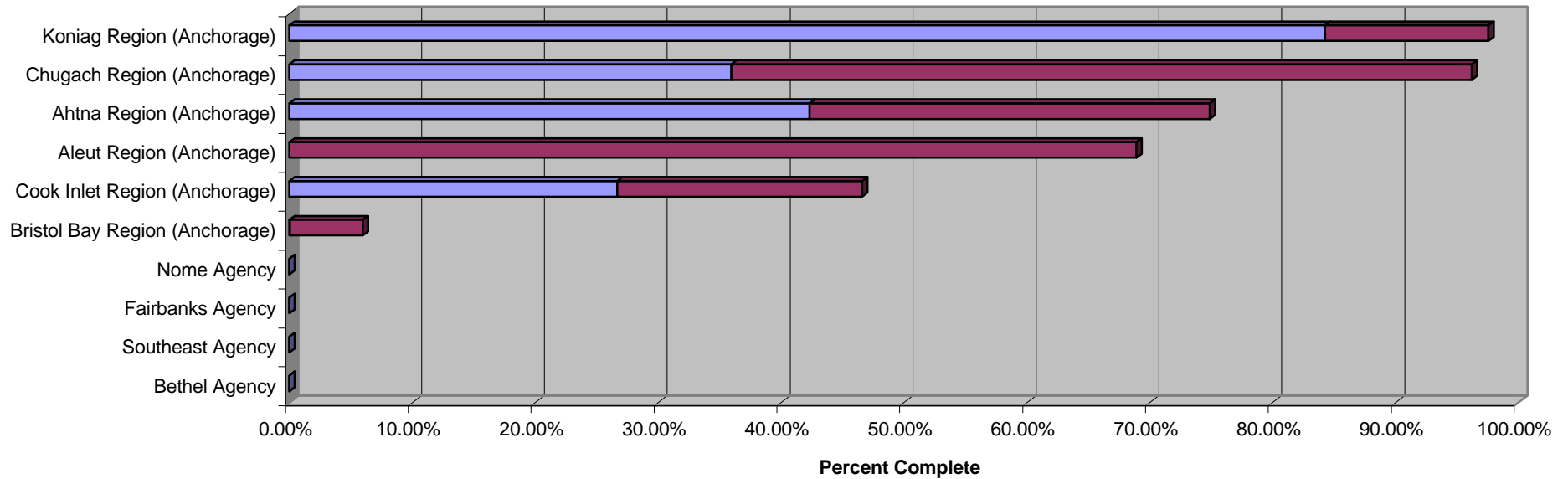
APPENDIX B – BIA DATA CLEANUP CHARTS

Rocky Mountain Region January 2001



<i>Rocky Mountain</i>	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)		Number Completed through Current Quarter (Nov-Jan)		Total % Complete to Date
Multiple Owner ID (LRIS)	2,296	2,295	99.96%	2,296	0.0%	100.00%
Fee Owner ID	723	723	100.00%	723	0.0%	100.00%
Title Tract Match	477	477	100.00%	477	0.0%	100.00%
Metes & Bounds	1,216	1,216	100.00%	1,216	0.0%	100.00%
Lease Owner Inquiry (Crow & Blackfeet)	709	709	100.00%	709	0.0%	100.00%
Lease Owner Inquiry (Ft. Peck)	848	717	84.55%	848	15.4%	100.00%
IIM ID Match	789	298	37.77%	660	45.9%	83.65%
Multiple Owner ID (IRMS)	4,543	1,961	43.17%	2,022	1.3%	44.51%
Change In Land Status	567	-	0.00%	162	28.6%	28.57%

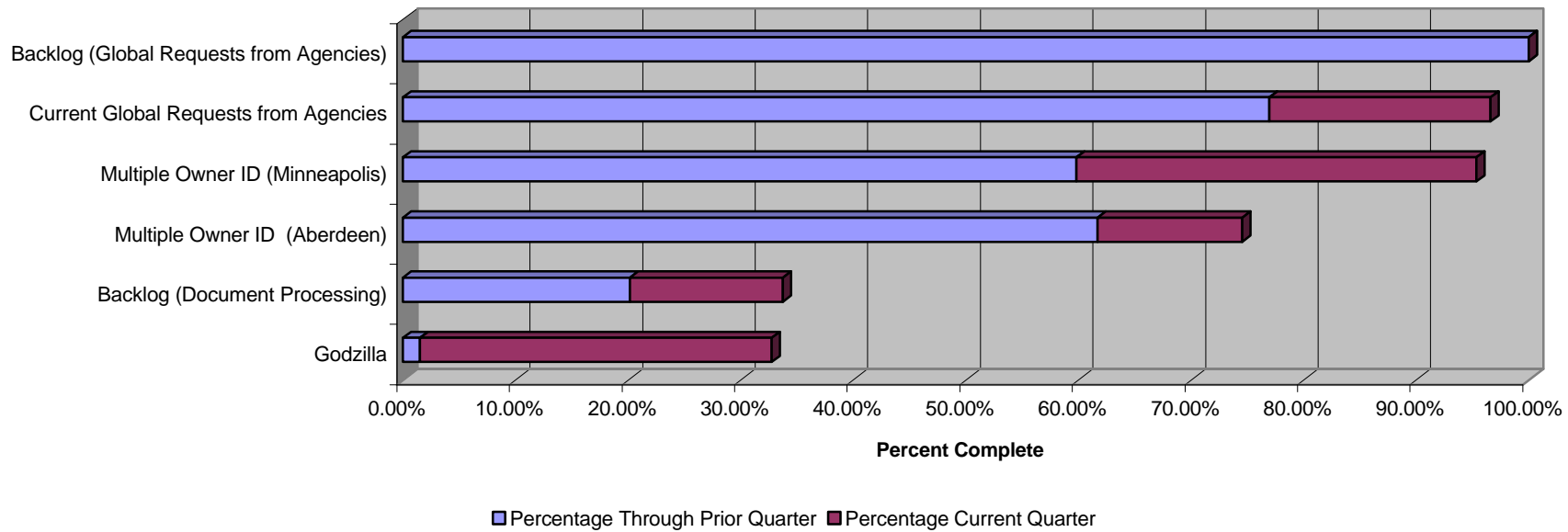
Juneau Region January 2001



■ Percentage Through Prior Quarter ■ Percentage Current Quarter

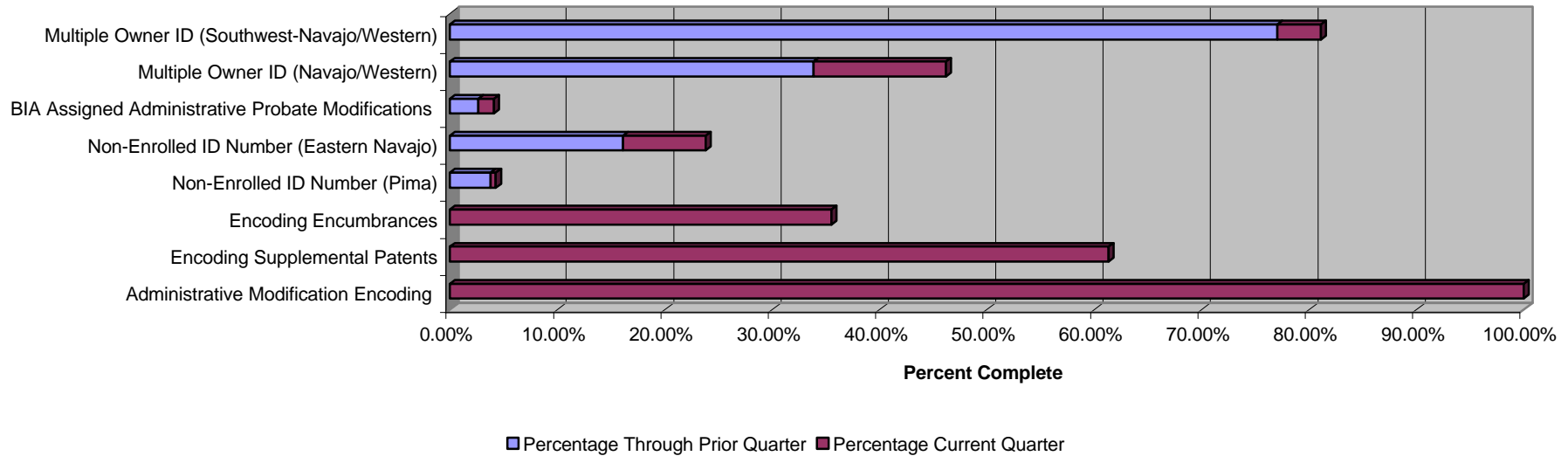
<i>Juneau</i>	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)		Number Completed through Current Quarter (Nov-Jan)		Total % Complete to Date
Koniag Region (Anchorage)	540	455	84.26%	527	13.3%	97.59%
Chugach Region (Anchorage)	292	105	35.96%	281	60.3%	96.23%
Ahtna Region (Anchorage)	678	287	42.33%	508	32.6%	74.93%
Aleut Region (Anchorage)	264	-	0.00%	182	68.9%	68.94%
Cook Inlet Region (Anchorage)	472	126	26.69%	220	19.9%	46.61%
Bristol Bay Region (Anchorage)	4,410	3	0.07%	264	5.9%	5.99%
Nome Agency	6,510	-	0.00%	-	0.0%	0.00%
Fairbanks Agency	7,818	-	0.00%	-	0.0%	0.00%
Southeast Agency	1,152	-	0.00%	-	0.0%	0.00%
Bethel Agency	12,208	-	0.00%	-	0.0%	0.00%

Great Plains Region January 2001



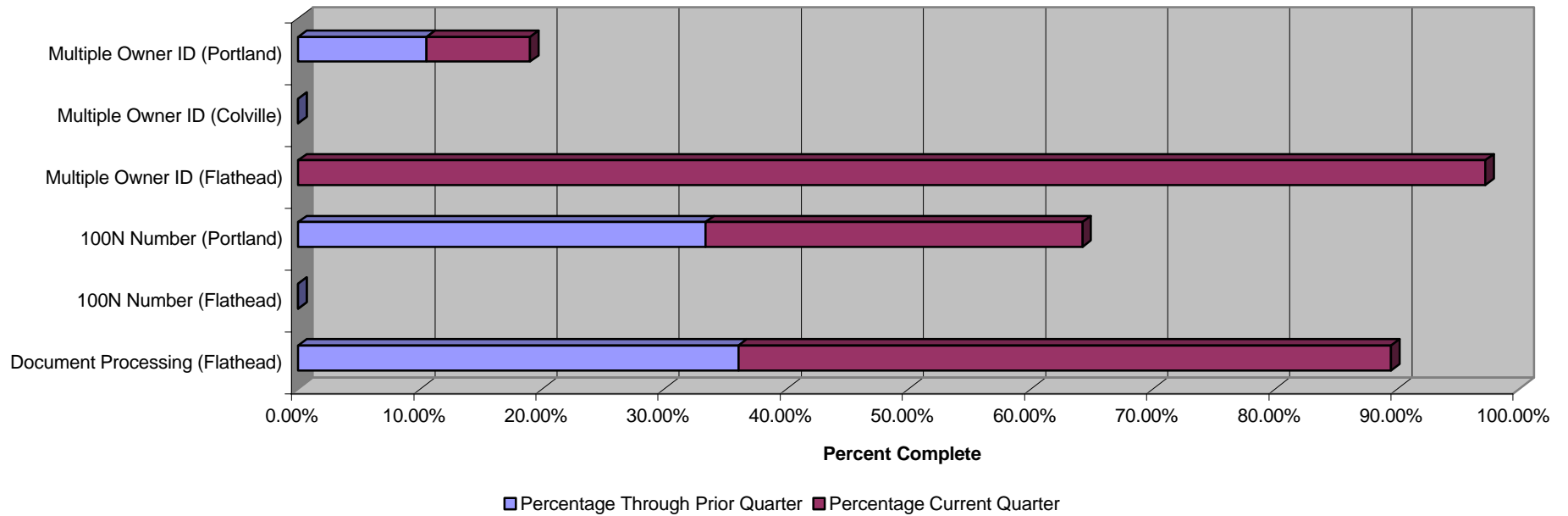
Great Plains	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)		Number Completed through Current Quarter (Nov-Jan)		Total % Complete to Date
Backlog (Global Requests from Agencies)	727	727	100.00%	727	0.0%	100.00%
Current Global Requests from Agencies	204	157	76.96%	197	19.6%	96.57%
Multiple Owner ID (Minneapolis)	2,180	1,304	59.82%	2078	35.5%	95.32%
Multiple Owner ID (Aberdeen)	11,720	7,231	61.70%	8737	12.8%	74.55%
Backlog (Document Processing)	13,000	2,622	20.17%	4387	13.6%	33.75%
Godzilla	938	14	1.49%	307	31.2%	32.73%

Southwest/Navajo/Western Regions January 2001



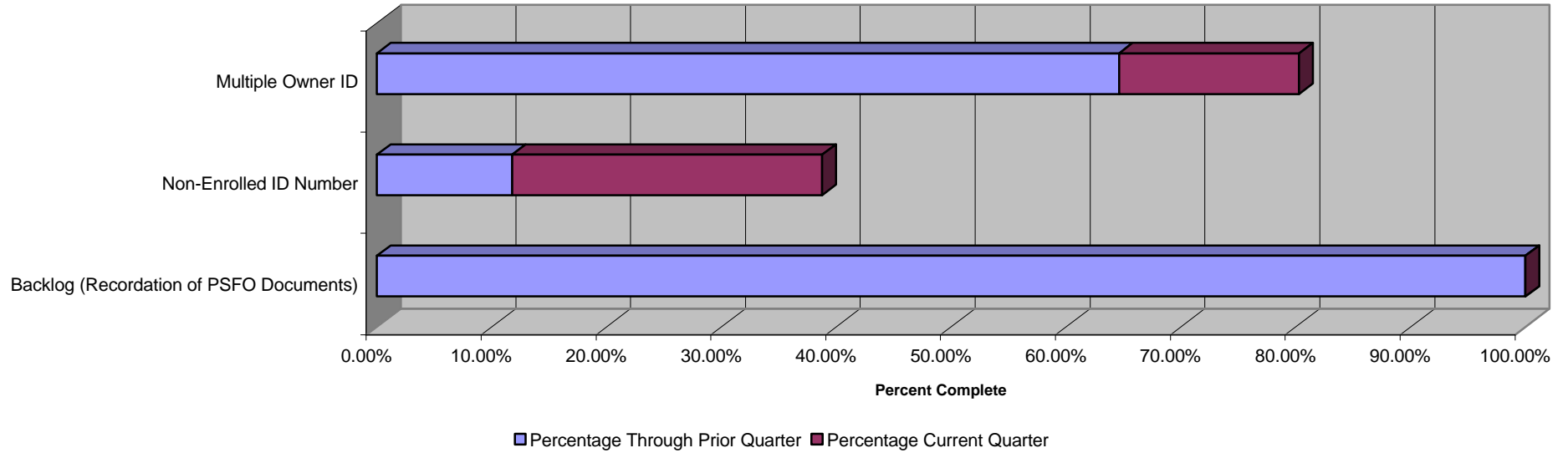
<i>Southwest/Navajo/Western</i>	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)		Number Completed through Current Quarter (Nov-Jan)		Total % Complete to Date
Multiple Owner ID (Southwest-Navajo/Western)	936	721	77.03%	759	4.1%	81.09%
Multiple Owner ID (Navajo/Western)	3,089	1,046	33.86%	1,427	12.3%	46.20%
BIA Assigned Administrative Probate Modifications	1,287	34	2.64%	53	1.5%	4.12%
Non-Enrolled ID Number (Eastern Navajo)	1,155	186	16.10%	275	7.7%	23.81%
Non-Enrolled ID Number (Pima)	2,222	84	3.78%	95	0.5%	4.28%
Encoding Encumbrances	166	-	0.00%	59	35.5%	35.54%
Encoding Supplemental Patents	274	-	0.00%	168	61.3%	61.31%
Administrative Modification Encoding	74	-	0.00%	74	100.0%	100.00%

Northwest Region January 2001



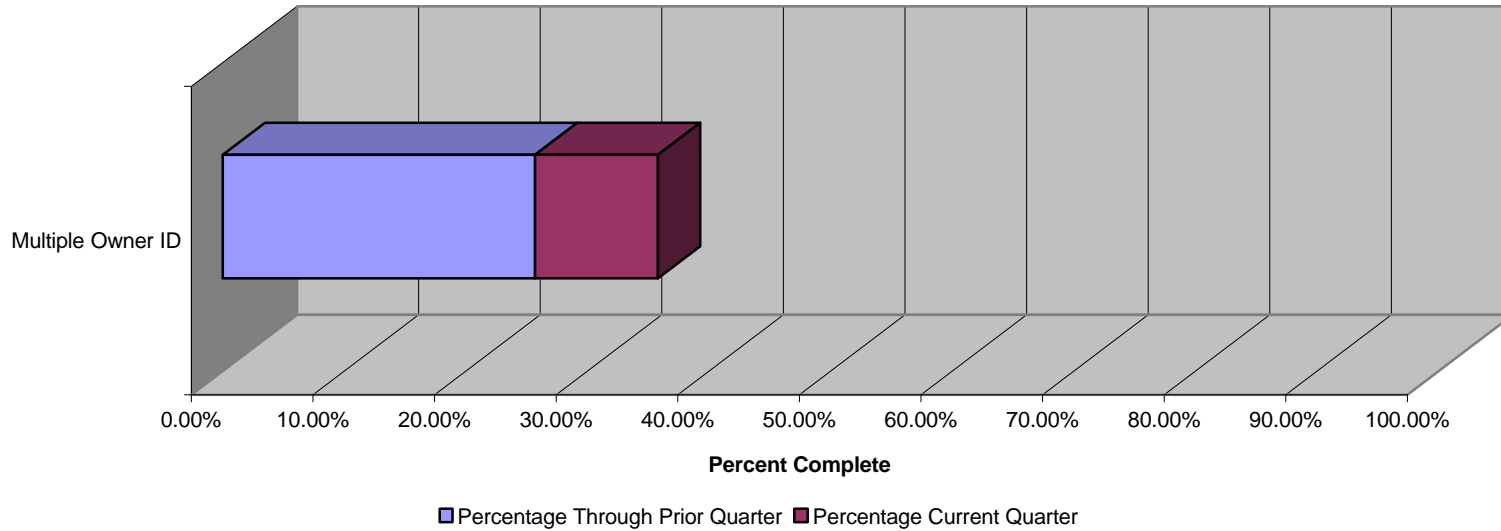
<i>Northwest</i>	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)		Number Completed through Current Quarter (Nov-Jan)		Total % Complete to Date
Multiple Owner ID (Portland)	4,213	443	10.52%	801	8.5%	19.01%
Multiple Owner ID (Colville)	540	-	0.00%	-	0.0%	0.00%
Multiple Owner ID (Flathead)	215	-	0.00%	209	97.2%	97.21%
100N Number (Portland)	3,176	1,060	33.38%	2,040	30.9%	64.23%
100N Number (Flathead)	274	-	0.00%	-	0.0%	0.00%
Document Processing (Flathead)	1,037	374	36.07%	928	53.4%	89.49%

Pacific Region January 2001



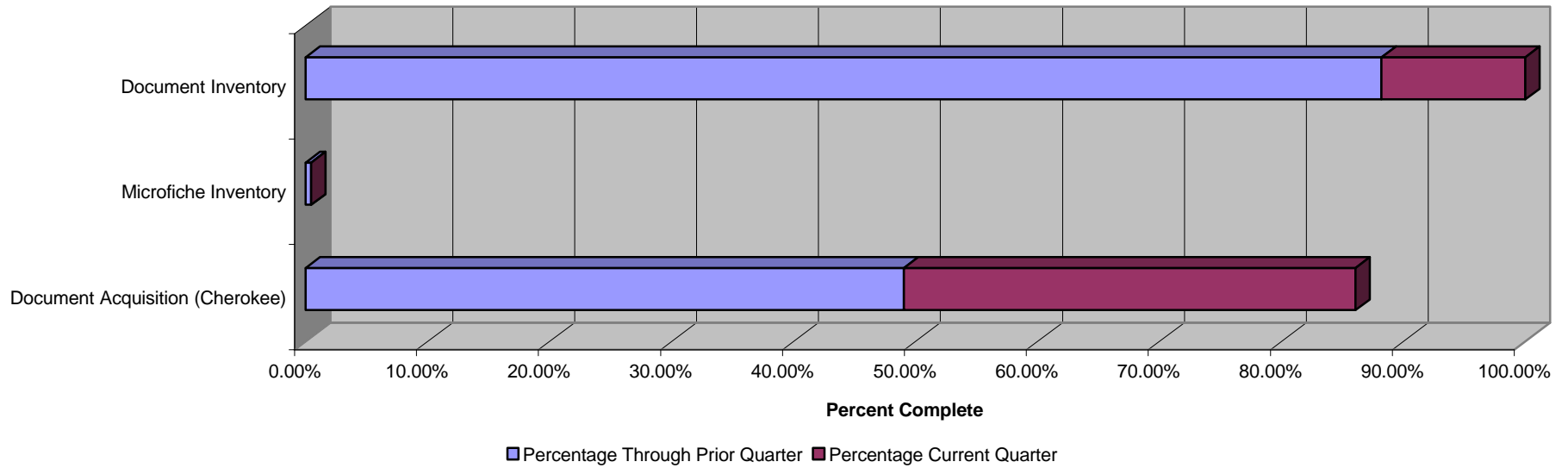
<i>Pacific</i>	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)		Number Completed through Current Quarter (Nov-Jan)		Total % Complete to Date
Multiple Owner ID	715	462	64.62%	574	15.7%	80.28%
Non-Enrolled ID Number	2,690	317	11.78%	1043	27.0%	38.77%
Backlog (Recordation of PSFO Documents)	924	924	100.00%	924	0.0%	100.00%

Southern Plains Region January 2001



<i>Southern Plains</i>	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)		Number Completed through Current Quarter (Nov-Jan)		Total % Complete to Date
Multiple Owner ID	2,540	652	25.67%	909	10.1%	35.79%

Eastern Region January 2001



<i>Eastern</i>	Total Work Units	Number Completed through Prior Quarter (Aug-Oct)	Number Completed through Current Quarter (Nov-Jan)	Total % Complete to Date
Document Inventory	68	60 88.24%	68 11.8%	100.00%
Microfiche Inventory	248,749	1,151 0.46%	1,151 0.0%	0.46%
Document Acquisition (Cherokee)	30,000	14,715 49.05%	25,830 37.1%	86.10%