

Trust Management Improvement Project

Quarterly Status Report to the Court Number Six

For the Period
February 1, 2001 to April 30, 2001



May 31, 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 sixth 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 *Fifth Quarterly Report*, and 2) steps taken by the DOI to rectify Court-declared breaches of trust.

The *Sixth Quarterly Report* covers the reporting period of February 1 through April 30, 2001. This report is identical in format to the *Fifth 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 also include the 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.

The Revised High Level Implementation Plan. The revised HLIP, as amended by the Quarterly Status Reports, contains some 260 milestones directed towards the accomplishment of trust improvement projects. As of April 30, 2001, a cumulative total of 186 milestones have been completed, including 9 milestones completed during this reporting period. Of the remaining 74 milestones, 23 are designated as ongoing and will continue throughout the life of the HLIP.

Four milestones were not completed by the scheduled date during this reporting period. A full description of the impact and reasons for the missed dates is detailed in the applicable HLIP subproject chapters. A summary chart follows:

Sixth Quarterly Report HLIP Milestones Due			
HLIP Project	Due	Completed	Not Completed
1. OST Data Cleanup	0		
2. BIA Data Cleanup	0		
3. Probate	3	3	
4. BIA Appraisals	2	2	
6. TAAMS	0		
7. MMS Reengineering	2	1	1
8. Records Management	2		2
9. Trust Policies and Procedures	3	3	
10. Training	1		1
11. Internal Controls	0		
HLIP Project Total	13	9	4

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 47 milestone tasks, of which a cumulative total of 33 have been completed by the end of the reporting period, including four that were completed during this reporting period. As previously established, milestones for the Records Retention Breach are tallied in the Records Management Chapter.

Two milestones were not completed on the scheduled date during this reporting period. A full description of the impact and reasons for the missed dates is detailed in the applicable Breach project.

Sixth Quarterly Report Breach Milestones Due			
Breach Project	Due	Completed	Not Completed
1. Collection of Missing Information	2	1	1
3. Computer Architecture	1		1
4. Workforce Planning	3	3	
Breaches Total	6	4	2

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.

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 *Sixth Quarterly Report*.

As indicated in the last three Quarterly Reports, the Special Trustee has expressed heightened concern about the project management capabilities assigned to several major HLIP subprojects. Those concerns center on such matters as a lack of clear strategy, adequate financial and staff planning, communications, and the appropriate direction of contractors. The Special Trustee has discussed his concerns with the Department's executive management as well as his Advisory Board at their meetings in November 2000, and this past February. Given the complexity of several projects, we may not know the full depth of the problems in those projects until the management issues are resolved satisfactorily. The Department has several options under active consideration to strengthen the management of those subprojects

A well-publicized letter sent to the Special Trustee by Dom Nessi, until mid-2000 the project manager for TAAMS and BIA Data Cleanup, was received in OST in the latter part of February. Mr. Nessi expressed serious reservations to the Special Trustee about the design of the HLIP, the strategy for its implementation, and the coordination of that implementation. While agreeing with some of the letter, the Special Trustee considers that much of the assessment misses the point of the management problems faced by the trust reform process in certain large subprojects rather than the smaller subprojects cited by Mr. Nessi.

TAAMS and BIA Data Cleanup

The TAAMS and BIA Data Cleanup subprojects of the High Level Implementation Plan along with the TFAS (financial accounting) system provide the backbone of the major trust systems capability that DOI must have in order to deliver appropriate trust services to individual and tribal beneficiaries.

During the final quarter of 2000, the lack of full-time, experienced BIA assigned personnel, plus the need to bring the *leasing* portion of TAAMS to fruition, resulted in the assignment of full-time personnel on a temporary basis by the BIA. A timeline was created on which the TAAMS system would be brought to Billings, MT, (the site of the first pilot in 1999) for final user testing. Note that the *title* portion of TAAMS is operational for four Regions currently, albeit without a title history database.

The Special Trustee asked to convene another status meeting with the manager of both the TAAMS and BIA Data Cleanup projects in January which was held on February 13-14, and attended by senior operating people of OST. This meeting was intended also to assure inclusion of OST's requirements within the TAAMS system. The meeting made it clear that the TAAMS leasing portion still required considerable

programming to provide conformity with sound trust principles and practice, and to meet BIA users needs. The Special Trustee continues to have concerns regarding the capability of the BIA project management to implement TAAMS across all twelve regions. As noted above, these concerns are being addressed.

The TAAMS schedule for an executive management decision to implement in the Rocky Mountain Region, following completion of the users' test, was lengthened to late June 2001. The time at which operating use of TAAMS in the Rocky Mountain Region may be expected is unclear. Furthermore, considerable training will be required and is in a planning stage currently, and much documentation of the system has yet to be completed.

The Special Trustee continues to be concerned about the progress in the BIA Data Cleanup project. Specifically, the project management is not sufficient for reasons mentioned above. The Special Trustee is also concerned that the contractor is not being provided appropriate direction in the field, and that progress measurement (as mentioned in previous Reports) continues to be insufficient. A review of the present strategy is needed to allay these concerns. Accordingly, the Special Trustee tasked his Principal Deputy to chair a working group to validate the existing statement of work, assess the direction of this project, and provide recommendations on future management direction, priorities, scheduling and funding for the project.

Other Observations

Policies and Procedures

The "Interagency Handbook" is in its final stages of completion and is undergoing an approval process. When completed, it will become a memorandum of understanding between BIA and OTFM, clarifying responsibilities of each in the processing of trust transactions. The handbook will incorporate the current Federal regulations pertaining to trust responsibilities and is a vital step in trust reform.

Cadastral Surveys

The Special Trustee has learned that an undetermined amount of trust lands may need to be re-surveyed for various reasons including natural occurrences (such as river bed changes). The backlog of properties to be re-surveyed is considerable, and the dimensions of the task are being determined by the Special Trustee's Risk Management Office with the input of the BIA and BLM. By statute, the surveys must be performed by the Bureau of Land Management. Upon receipt of further information, the Department may consider whether to elevate this effort within the overall trust reform effort.

OST Data Cleanup

Three tribes have refused to permit *individual* Indian files, which are Federal records, and not tribal records, to be transported to a central depository for eventual administrative file reconciliation (verifying source documents against electronic records) as well as for their safekeeping. A letter from the Department is being prepared for the Court to inform it of the Department's frustrated attempts to transport the IIM files to a records center.

Probate

The Special Trustee has noted improvement in the project management of this backlog cleanup issue. The OST staff has encouraged more project definition plus piloting efforts for probate case preparation and recording activities. As requirements are better defined, more detailed roll out plans for nationwide implementation will be pursued.

Recommendations to the subproject manager also have been made with respect to more meaningful measurement of the backlog and its categories so that progress can be monitored better as cases are added, prepared, and returned or adjudicated.

Most “Youpee” reversals will create much greater than expected probate cleanup plus a large workload downstream for the accounting system (TFAS). This project appears to require greater project management oversight than expected.

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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 Integrated Records Management System (IRMS) 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:

The only remaining milestones for OST Data Cleanup are those considered "ongoing."

III. Summary of Ongoing Activities:

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, 91 additional accounts have been investigated and corrected (1,150 total corrections to date). OTFM is awaiting documentation from BIA and OTFM field staff to correct the remaining 132 accounts.
- Of 1,334 accounts that did not conform to OTFM policy, 45 additional accounts have been investigated and corrected (1,294 corrected accounts to date). OTFM is awaiting documentation from BIA and OTFM field staff to correct the remaining 40 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). For this report period, an additional 46 accounts have been updated, bringing the total to 413 (88% of the 472 accounts identified).

P4. Revised Management Coding. The first step in the Management Coding Plan is the production of a report to identify the coding at the time of the initial review and provide a recommended change. The review and follow-up process on the report is scheduled to begin on May 1, 2001.

P5. Continue Research/Resolving Whereabouts Unknown Accounts. As of April 30, 2001, all whereabouts unknown accounts that had taxpayer identification or a previous address have been sent to Trans Union Credit Bureau. From information received from Trans Union Credit Bureau, there is a 59% rate of identifying possible addresses. Letters requesting confirmation of account holder's identities have been sent to these individuals. As of April 30, 2001, there is a 22% success rate for updating addresses (4,122 accounts updated from the total 18,469 letters sent to possible account holders). It should also be noted that in February 2001, current addresses were received for 1,728 accounts that were coded whereabouts unknown. In the same time period 1,718 accounts were newly coded to whereabouts unknown. All new whereabouts unknown are immediately compared to the Trans Union database. As of February 28, 1996, there were 46,996 accounts coded whereabouts unknown; of those accounts 23,216 are no longer coded as whereabouts unknown.

P6. Resolve Special Deposit Accounts. On March 25, 2001, OST hired a Project Manager for the Special Deposit Accounts Cleanup Pilot Project. During the week of April 16, 2001, BIA identified the BIA Liaison for the Pilot Project. Currently, work is in process to formulate a contract for a contractor to perform Phase 1 of the Pilot Project. OST anticipates awarding the contract by May 31, 2001.

P7. Settle Issues with Small Balance/Inactive Accounts. Approximately 14,800 accounts with a zero balance and no transaction activity during the previous 18 months were coded as closed on April 30, 2001. The accounts will be reopened if funds are received. All accounts coded as reopened must identify why funds were not received for 18 months. A listing of the reopened accounts with an explanation will be forwarded to OST's Risk Management Office for review. On an ongoing basis accounts will be coded as closed which have a zero balance and have had no activity in 24 months.

A draft plan is being developed to address Small Balances and Inactive Accounts. The projected completion date for the plan is the third quarter for fiscal year 2001. As of March 31, 2001 there are a total of 18,184 accounts that have a \$.01 - 1.00 balance with no activity for the previous 18 months. The total dollars included in those accounts is \$5,326.03

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

V. Milestone Chart for OST Data Cleanup.

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

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

HLIP 2

	<u>Milestone Title</u>	<u>Date</u>	<u>Revised Date*</u>	<u>Status</u>
	<u>Milestones due or changed this report cycle (02/01/01 – 04/30/01) are shaded.</u>			
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.

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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:

Rocky Mountain Regional Office staff and DataCom Sciences, Inc., the BIA data cleanup contractor, are concentrating the data cleanup efforts on title/realty tract match in preparation for converting the data from the legacy system, Integrated Records Management System (IRMS), into the new TAAMS Realty module. Data Cleanup efforts continue to correspond with the TAAMS title and realty deployment schedules for Group A (Rocky Mountain, Southern Plains, Alaska and Eastern Oklahoma Regions).

Data Cleanup continues at eight Regional Offices and nine agencies with data cleanup personnel totaling 164 as of April 22, 2001. The TAAMS project management team continues to modify and evaluate the data cleanup approach as necessary.

The BIA and OST have established a Data Cleanup work group chaired by the Principal Deputy Special Trustee, Office of Special Trustee for American Indians to review the BIA data cleanup project and efforts. It is anticipated the first meeting of the full work group will be held during the month of June 2001. Over the course of the next reporting period, the work group will 1) validate the existing statement of work and task orders to the cleanup contractor; 2) assess the current direction, scope and status of the data cleanup project; and, 3) provide recommendations about future management, direction, priorities, schedule, and funding for the BIA Data Cleanup project.

F. Training on Data Cleanup and Data Quality Policies and Procedures.

Training will continue at each site for new data cleanup contractor personnel until the data cleanup project is completed.

G. Perform Pre-Deployment Data Cleanup. An evaluation of the data cleanup efforts and recommendations are currently being developed by the TAAMS Project Management Team to update the data cleanup approach. The recommendations will involve pre-deployment cleanup for both Title and Realty functions.

Data Cleanup continues to focus primarily on eliminating data anomalies that impact data migration activities. A description of the various pre-deployment and post-deployment data cleanup efforts can be found in Appendix A. Appendix B contains charts depicting previous and current quarter-to-date data cleanup progress for each of the regions described below.

Data Cleanup Overview By Region

Data cleanup is currently focused on the land title and records data. The data cleanup contractor is focusing on cleaning up the data in the legacy system at various BIA regional sites and at their headquarters in Albuquerque, NM. Currently, the data cleanup priorities are recommended by the BIA data cleanup project staff (data cleanup and conversion) with concurrence of each title office. Based on lessons learned and updating the mapping process for conversion, the TAAMS Project Management team is in the process of evaluating the data cleanup efforts bureau-wide.

Alaska and Eastern Oklahoma Regions are encoding title data directly into TAAMS and at all other regions the title data will be migrated into TAAMS. At Eastern Region, the title functions were transferred to Southern Plains Region (SPR). Therefore, the data cleanup contractor is performing document research and building files that will be transferred to SPR for encoding. It is anticipated that realty legacy data from the Integrated Records Management System (IRMS) will generally be encoded directly into TAAMS as IRMS was not used bureau-wide.

Following is the status of each Region:

Rocky Mountain Region Cleanup Status – Data cleanup tasks for this reporting period included: Multiple Owner ID (IRMS), IIM ID Match, Change in Land Status, and Title/Realty Tract Match.

Alaska Region Cleanup Status – Juneau personnel continued their data cleanup focus on regions within the jurisdiction of the Anchorage Agency during this reporting period. The Alaska Title Service Center (ATSC) did not certify any tracts during the March 2001 reporting period.

Great Plains/Midwest Regions Cleanup Status – Data cleanup tasks for this reporting period included: Multiple Owner ID (Great Plains), Backlog (Document Processing), Current Global Requests from Agencies, and GDSA Report (an anomaly report originally developed by the Geographic Data Service Center). The Multiple Owner ID (Midwest) task was completed on March 22, 2001. The previously reported total identified anomalies for the GDSA Report task decreased during the reporting period due to the completion of 285 cases by BIA personnel.

Southwest/Western/Navajo Regions Cleanup Status – Data cleanup tasks for this reporting period included: Multiple Owner ID (Southwest), Multiple Owner ID (Navajo/Western), BIA Assigned Administrative Probate Modifications, Non-Enrolled ID Number (Eastern Navajo), Non-Enrolled ID Number (Western), Administrative Modification Encoding, Encoding Encumbrances, and Encoding Supplemental Patents.

Data cleanup personnel continued to draft modifications for the Non-Enrolled ID Number and Multiple Owner ID Administrative Probate Modification subtasks during this reporting period. 226 modifications are currently pending BIA approval.

Northwest Region (Inclusive of Flathead & Colville) Cleanup Status – Data cleanup tasks for this reporting period included: Multiple Owner ID (Northwest), Multiple Owner ID (Colville), 100N Number (Northwest), Document Processing (Flathead), and 100N Number (Flathead). The Multiple Owner ID (Flathead) task was completed on March 20, 2001.

Pacific Region Cleanup Status – Data cleanup tasks for this reporting period included: Multiple Owner ID and Non-Enrolled ID Number. Data cleanup personnel continued to update and create ID cards for the ID Card Update subtask during this reporting period. Data cleanup personnel have updated 289 ID cards for the Multiple Owner ID task and 482 cards for the Non-Enrolled ID Task to date.

Southern Plains Region Cleanup Status – The data cleanup task for this reporting period was Multiple Owner ID. The Payment File Verification task was postponed during the reporting period due to the priority placed on the Multiple Owner ID Task.

Eastern Region – Data cleanup tasks for this reporting period included: Microfiche Inventory and Document Acquisition. Data cleanup personnel at the Eastern Regional Office (ERO) continued to focus on the acquisition of legal land documents and the examination of document type code classifications during the month. The focus at the Cherokee Agency continues on acquisition and certification of Land Titles and Records documents for shipment to the Southern Plains Regional Office (SPRO).

H. Monitor Data Integrity for Each BIA Office. The data cleanup contractor is conducting the TAAMS Information Evaluation Migration (TIME) project. The TIME tasks for this reporting period included: Document Scanning for the Northwest Tract 100 Sample, LRIS Assessment for Southern Plains Tract 100 Sample, LRIS Assessment for Rocky Mountain Document Sample. DataCom personnel completed the Pacific Tract 100 Sample on March 9, 2001. The results of all the analysis will provide the Bureau of Indian Affairs a better approach to the data cleanup and conversion challenges the BIA faces in the deployment of TAAMS.

I. TAAMS Post-Deployment Cleanup. Post-deployment data cleanup is occurring in the Rocky Mountain and Southern Plains Regions for land title and records. These are the only two regions in Group A where Title data was converted from the legacy system (LRIS) into TAAMS.

K. BIA Data Management. Data Management is an ongoing task that is required to be performed by each office.

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**

	Milestone Title	HLIP 2 Date	Revised Date*	Status
	Milestones due or changed this report cycle (02/01/01 – 04/30/01) 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 (1)	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

(1) After deployment of TAAMS, additional cleanup activities will be required. Subject to data integrity goals, Data Cleanup activities that can be performed more effectively in the new environments will be accomplished in this phase. For example, data for new fields that were not collected in the legacy systems will be added to the new TAAMS data files.

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 Reinvention Laboratory (IPRL) 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. As of February 2, 2000, caseload data, which included a projected estimate of future deaths, was 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:

H. Complete Staffing Needs Assessment to Determine Staffing Levels at BIA Field Office: H1. Phase I – *This milestone, scheduled to be completed by April 30, 2001, was met.* The Workforce Planning subproject was responsible for the survey of the Departmental workforce for trust-related activities, and as such, executed a contract to complete these tasks. On April 24, 2001, the contractor completed the staffing assessment. The probate subproject staff was instrumental in the review of the survey instrument and guidance to the contractor for the probate portion of the survey, including the provision of email addresses of both BIA and tribal probate staff. The results have been completed and forwarded to the Department for review.

K. Expand Existing OHA Caseload Tracking into a Joint Interim System. *This milestone, scheduled to be completed by April 30, 2001, was met.* During the week of April 23-27, the existing OHA tracking system was shut down and the data was transferred to the new Probate Operating System (POS) – a secure, web-based system. Training on the POS was provided to approximately

160 BIA and tribal probate staff, contractors, and Attorney Decision Makers (ADM) staff on March 27-29, 2001, at a national training session held in Phoenix, Arizona. On April 30, 2001, BIA probate and ADM staff with appropriate security clearances and OHA began using the POS. Tribal probate staff will be granted access upon obtaining the appropriate level of security clearance.

R. Establish Partnerships with Indian Tribes
R3. Inventory of Tribal Inheritance Codes. *This milestone, scheduled to be completed by March 31, 2001, was met.* In December 2000, probate project staff designed a survey instrument and conducted a survey of the Indian tribes who contract with the Office of Self-Determination and compact with the Office of Self-Governance for the BIA probate function. The surveys have been ongoing and updated. To date, there are currently 61 tribes that perform the probate function under a compact or contract. The project staff used this opportunity to survey the tribes with inheritance codes. Survey results were confirmed with the regional BIA and OHA ALJ offices. Three Indian Tribes have statutory inheritance codes: Sisseton-Wahpeton Sioux Tribe, Standing Rock Sioux Tribe, and Devil's Lake Sioux Tribe (Ft. Totten or Spirit Lake). Three tribes have tribal purchase options by statute: Yakima Indian Nation, Confederated Tribes of the Warm Springs Reservation, and Nez Perce Tribe. There are two ILCA-approved tribal inheritance codes: Confederated Tribes of the Umatilla Indian Reservation and Salt River Pima-Maricopa Indian Community.

III. Summary of Ongoing Activities:

A2. Elimination of Summary Distribution Backlog.

REGION	Quarter: Sixth			YTD Cumulative		
	1 Original Backlog as of 12/1/99	2 Change* in Backlog as of 4/30/01	3 Adjusted Backlog	4 Total Cases Pending before ADM	5 Total Cases Decided	6 Current Backlog as of 4/30/01
Great Plains	86	62	148	6	76	66
Midwest	235	69	304	19	206	79
Navajo	2	21	23	0	11	12
Northwest	120	16	136	24	17	95
Pacific	52	-5	47	3	0	44
Rocky Mountain	346	-18	328	42	83	203
Southern Plains (EO, E)	10	4	14	2	9	3
Southwest	0	1	1	0	1	0
Western	196	37	233	35	58	140
TOTALS	1047	187	1234	131	461	642

*The backlog was reduced (negative number) when BIA completed cases prior to the contractor's inventory.

EO = Eastern Oklahoma Region E = Eastern Region

Key to read table across columns: Columns 1 + 2 = 3; Columns 3 - 4 - 5 = 6

During the 6th quarter, BIA submitted a total of 98 cases to the ADMs, 18 of which were referred to ALJs. Of the carry over cases pending in the 5th Quarter, the ADMs decided 179 in the 6th Quarter.

A3. Complete Decisions on Current Docket and Incoming Cases. During the reporting cycle, the Office of Hearings and Appeals added 537 new Indian probate cases to its active docket and issued 805 Indian probate decisions.

A4. As of April 30, 2001, the Office of Hearings and Appeals has decided 1394 of the 1,777 probate cases that were on OHA's docket more than 12 months as of September 30, 1999. OHA decided 480 of these cases during the current fiscal year, leaving a remainder of 383 cases to be decided.

A5. Posting and Recordation of Probate Backlog.

	1	2	3	4	5	6
Land Title and Records Plant Location	Backlog as of 12/01/99	New Cases Backlog as of 4/30/01	Modifications* Backlog as of 4/30/01	Adjusted Backlog	Cumulative Cases Approved by BIA YTD	Current Backlog as of 4/30/01
Great Plains Region	1940	0	239	2179	635	1544
Southwest Region	230	127	78	435	335	100
Northwest Region	234	0	10	244	16	228
Totals	2404	127	327	2858	986	1872

*A modification backlog is generated when the case requires further action to add omitted property or delete improperly included property in the final order.

Key to read table across columns: Columns 1 + 2 + 3 = 4; Columns 4 - 5 = 6

During the Sixth Quarter, BIA approved a total of 322 cases recorded and posted by the contractor, and 99 cases require further modification.

A6. Contract for Elimination of Probate Case Processing Backlog.

Supporting the workload and the data above, the probate contractor worked on the following activities.

	1	2	3	4	5
Pilot Agency	Original Backlog as of 12/1/99	Change* in Backlog as of 2/01/01	Adjusted Backlog	Cumulative YTD Cases Approved by BIA	Current Backlog as of 4/30/01
Pima Agency	257	-98	159	3	156
Papago Agency	223	43	266	1	265
San Carlos Agency	41	-20	21	0	21
Totals	521	-75	446	4	442

*The backlog was reduced (negative number) when BIA completed cases prior to the contractor's inventory of backlog.

Key to read table across columns: Columns 1 + 2 = 3; Columns 3 - 4 = 5

During the 6th Quarter, the contractor began the pilot project by hiring new staff, reviewing a total of 180 pending cases awaiting the preparation of the probate package, and completing 4 probate packages

B. Progress on *Youpee v. Babbitt*. The pilot project conducted at Pawnee Agency, Southern Plains LTRO, and OTFM has been completed and the Department is in the final stages of preparing a report which details the results of the pilot. The report will undergo review and approval by the Deputy Commissioner of Indian Affairs and the Special Trustee. A national rollout plan is also being prepared that schedules a phased rollout to begin processing the *Youpee* backlogs in accordance with the FY-2001 Indian Land Consolidation Act (ILCA) Plan. *Youpee* driven changes to administrative processes may require further administrative modifications of omitted or improperly included property.

N. Continue to Identify and Implement BIA & OHA Best Practices Through implementation Phase of Reengineered Probate Process. A draft probate handbook for processing cases was prepared by the probate project staff, which incorporated the final probate regulations effective March 23, 2001. On March 27-29, 2001, a national training session was held for BIA, tribal, and ADM probate staff. Of the attendees, approximately 114 were BIA probate staff, 39 tribal staff, 11 contractor staff, 19 ADM staff, and 4 Departmental employees. Comments on the handbook were received from BIA field staff that will be considered for incorporation into the handbook. Upon approval of the handbook and forms, the field staff will be provided with electronic copies of the forms and samples.

OHA will schedule a separate training session for its staff on the final probate regulations. OHA also completed a best practices ALJ handbook and accompanying CD of the forms that the judges use. Copies of the ALJ handbook were made available to all of the ADMs.

P. Customer Outreach. The probate project staff has designed a web page that links off the BIA homepage. The site contains a brief description of the Probate Implementation Project Office and staff; a list of Indian tribes which 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; links to the OHA page and OHA central and field offices, the IBIA cases, OST training opportunities; and a public access to the interim tracking system. The contents of the web page will be made available in hard copy for those who do not have access to computers.

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

A2. Elimination of Summary Distribution Backlog. After assessment of the progress of the elimination of the summary distribution backlog, it is anticipated that the milestone will not be completed by June 30, 2001, as previously predicted. The reason is twofold. First, this backlog was not similar to the backlog pending at OHA, wherein all the probate packages had been prepared and were only awaiting decisions. In contrast, approximately 1,000 cases have to be prepared, each taking a minimum of 120 days to complete due to the difficult and time-consuming process of gathering the necessary information from the families or heirs of the Indian decedent. Under the circumstances, the BIA

has made great progress in reducing over one-half of the summary distribution backlog in 7 months.

Second, the probate regulations effective March 23, 2001, now require a 30-day waiting period after potential heirs or beneficiaries are notified that the deciding official is an ADM or Superintendent. Thus, the effect of the final regulation is each decision is delayed an additional 30 days. The proposed regulations did not include this time line of 30 days. It was included in the final regulations as a result of the comments on the proposed regulations. Further, it was not known until this quarter what the actual effective date of the regulations would be. The completion date for this milestone, therefore, should be changed to September 30, 2001. BIA and OST are assessing how to address the case preparation time to complete the tasks and ways to achieve this date.

Quarterly Report to the Court Number Six

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 (02/01/01 – 04/30/01) 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) ... 09/30/01 (6QR) ...	
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) ... 04/30/01(5QR) ...	Completed
H2. Phase II	03/31/01	06/30/01(5QR)	
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	04/30/01(5QR) ...	Completed
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	01/22/01(5QR) ...	Completed
M3. Promulgation of OHA Regulatory Amendments	07/31/01	10/31/01(5QR) ...	
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		Completed
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. 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 may be 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. At the end of FY 2000 the Bureau eliminated the appraisal backlog bureau-wide.

II. Summary of Milestones Due this Quarter:

J. Upgrade the Bureau's Automated System. *This milestone, scheduled for completion on April 30, 2001, was met.* In the quarter, the remaining computers were delivered and installed at all bureau offices with appraisal staff and which required updated computer equipment.

K. Realign Line Authority to Ensure Consistent Management and Overview of Appraisal Program. Subtask K1. "Completion of Plan to Realign Line Authority". *This milestone subtask, scheduled for completion on March 31, 2001, was met.* The plan contained an explanation and schedule of the necessary steps. Target dates for the significant steps (K2 through K6) have been added into the milestone chart for this subproject.

III. Summary of Ongoing Activities:

A. Determine and Ensure Certification Qualifications of BIA Appraisers.

On April 27, 2001, the Appraisal staff participated in the Program Standard and Statement of Work Training (Public Law 93-638) provided by the Office of Tribal Services, Division of Self-Determination Services. The appraisal staff will provide appraisal technical assistance to the compacted/contracted tribes in preparing Program Standards and Statements of Work for appraisal services that Tribes sub-contract to commercial sources.

- In this quarter, the Appraisals Subproject staff began developing a policy memorandum to establish minimum annual training requirements for the BIA appraisal staff.
- On April 27, 2001, the Appraisal Subproject staff participated in the BIA's "Program Standard and Statement of Work Training" for its Self-determination Act compacting and contracting program (Public Law 93-638). The purpose of the training was to provide appraisal technical

assistance to the compacted/contracted tribes in developing program standards and statements of work for appraisal compacts and contracts. The Appraisal Subproject staff recommended standard language regarding the appraisal function for inclusion in compacts and contracts with tribes.

- In this reporting period, Mr. Gabriel Sneezy, Chief Appraiser, and Robert E. Grijalva of the BIA's Chief Appraiser's Office became members of the Appraisal Foundation Advisory Council (TAFAC). Congress, under the Financial Institutions Reform, Recovery, and Enforcement ACT, Public Law 101-73, to develop, publish, interpret and amend the Uniform Standards of Professional Appraisal Practice for the appraisal profession nationwide, authorizes the Appraisal Foundation. The Advisory Council consists of federal and private sector appraisers and real estate professionals. Active participation in this organization is essential for promoting and protecting the interest of both the appraisal program and the professionalism of the BIA appraisal staff.

C. Develop and Maintain Database for Tracking Appraisals. In this quarter, the Appraisals Subproject Staff met twice with the TAAMS software contractor to review and refine a preliminary proposal for developing a module for the Appraisals Management System (AMS).

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

K1. Completion of Plan to Realign Line Authority. The milestone chart in the 5th Quarterly Report incorrectly identified the end date for the entire milestone K under Subtask K.1. As reported above, Subtask K.1 was timely completed in this reporting period. The target date for Milestone K remains 10/30/01, and the milestone chart is amended accordingly to reflect this.

Per the March 29, 2001, plan mentioned above, the following milestone dates for the Appraisal Program Reorganization have been established:

K2. Tribal Consultations	06/30/01
K3. Submit Proposal for DOI & OMB Clearance.....	07/15/01
K4. Submit Proposal to Congress	07/31/01
K5. Advertise New Positions	09/07/01
K6. Complete Hiring Process	10/30/01

V. Milestone Chart for BIA Appraisals.

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

V. Milestone Chart for BIA Appraisal Program

BIA Appraisal Program

Project Manager: Gabriel Sneezy, BIA

	Milestone Title	HLIP2 Date	Revised Date*	Status
	Milestones due or changed this report cycle (02/01/01 – 04/30/01) 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) ... 04/30/01 (5QR)	Completed
K.	Realign Line Authority to Ensure Consistent Management and Overview of Appraisal Program	05/31/00	12/31/00 (3QR) ... Added K1-K6 (5QR) ... Extended to 10/31/01 (5QR)	
	K1. Completion of Plan to Realign Line Authority	01/31/01 (5QR)	3/31/01 (6QR)	Completed
	K2. Tribal Consultations	TBD (5QR)	06/30/01 (6QR)	
	K3. Submit Proposal for DOI & OMB Clearance	TBD (5QR)	07/15/01 (6QR)	
	K4. Submit Proposal to Congress	TBD (5QR)	07/31/01 (6QR)	
	K5. Advertise New Positions	TBD (5QR)	09/07/01 (6QR)	
	K6. Complete Hiring Process	TBD (5QR)	10/30/01 (6QR)	
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.

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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 (LRIS) 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:

K2. Complete System Modification Efforts – Realty Functions and Interfaces. A number of BIA staff and TAAMS Project Management Team personnel have been in Dallas, TX since early January 2001 to work on the user requirements, system design, and modifications.

S2. Realty Functions and Interfaces Start. Based on the following schedule, TAAMS title and realty modules are scheduled to be deployed in July 2001 in the Rocky Mountain Region.

The schedule below was developed based on the requirement that this milestone was originally scheduled to be completed by May 31, 2001. Because of BIA's management decision to include a new milestone, "User Review", a decision was made to extend the original milestone due date of May 31, 2001 to June 15, 2001. However, the final analysis report of the User Acceptance Test will be completed on June 22, 2001.

See chart on following page.

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	Ongoing
System Test (1)	03/23/01	Complete
Progress Review II (2)	03/29/01	Complete
Title History (4)	03/30/01	On going
Final System Modifications (5)	04/06/01	Complete 05/13/01
RDRS Conversion (6)	04/13/01	On going
Training for UAT Participants	04/13/01	Complete 05/07/01
User Review (New) (3)	05/04/01	Complete
User Acceptance Test – Billings (3)	05/04/01	Started 05/14/01
UAT Analysis and Report (7)	05/11/01 Revised 06/22/01	
BIA Review	05/18/01 Revised 06/14/01	
Final Report	05/25/01 Revised 06/22/01	
Executive Management Review	05/29/01 Revised 06/15/01	
Executive Management Decision	05/31/01 Revised 06/25/01	

(1) The system test was completed on April 12, 2001. Both the software vendor and an outside contractor (IBM Global Services) hired by the software vendor conducted the system test according to the plan developed. IBM Global Services executed 570 test scripts as defined by the software vendor. The overall assessment of the system is that the functions tested appeared to be sound and functions as defined for the test were met by the application. The system test did not test any accounting entries for accuracy in posting as this was outside the test scope of the contractor used by the software vendor. The accounting entries will be tested during the User Acceptance Test (UAT).

(2) Test Readiness Review (TRR) III was conducted on, April 18, 2001. The purpose of TRR is to identify and resolve any issues that could cause a delay in the test schedule. The focus of the TRR was to make an assessment of the readiness to execute a User Acceptance Test (UAT) in Rocky Mountain Region originally scheduled

for April 17- May 4, 2001. The TRR III identified some functionality deficiencies that were critical but did not predict significant delays since appropriate actions are underway.

(3) As a result of the TRR III and a decision to review the functionality of the TAAMS software, Bureau management decided to insert a new milestone, "User Review", that was completed on May 04, 2001. The User Review was a random test of various transactions to test the core functionality of TAAMS for the BIA to perform its business. This included the core functionality of the following modules: title, surface, sub surface, forestry, range, and rights of ways. This milestone resulted in a slippage of the remaining milestones on the above schedule by approximately two weeks.

(4) Title history will be converted from the Land Records Information System (LRIS), the legacy system at Rocky Mountain Region. This milestone is ongoing until the final conversion of the legacy data is completed before the deployment of TAAMS throughout the Rocky Mountain Region.

(5) Final System modifications were completed on May 13, 2001. The system modifications addressed are being tested in the UAT started on May 14, 2001.

(6) The Royalty Distribution and Reporting System (RDRS)—a subsystem of Integrated Records Management System (IRMS) in which oil and gas royalty funds from the Minerals Management Service (MMS) are distributed to individual mineral trust beneficiary owners. This milestone is ongoing until the final conversion of the legacy data is completed before the deployment of TAAMS throughout the Rocky Mountain Region.

(7) The final UAT Analysis and Report scheduled to be completed May 25, 2001 is now scheduled for completion on June 22, 2001. However, the TAAMS Project Management Team will provide an interim report to BIA management on the preliminary findings of the UAT before the BIA review. The original milestone of May 31, 2001 to have an Executive Management Decision to implement TAAMS in the Rocky Mountain Region will slip to June 25, 2001. This slippage will still allow the deployment of the software in the Rocky Mountain Region to be on schedule. The original schedule was flexible enough to accommodate the two-week delay and still allow a decision within the original June timeframe to deploy TAAMS in the Rocky Mountain Region.

T. Complete TAAMS Deferred Modifications. The Bureau management will determine a date for all previous TAAMS Deferred Modifications. It is anticipated that once TAAMS is implemented in the Rocky Mountain Region and all deficiencies are identified and addressed, a schedule will be developed to release other versions of TAAMS software to address the deferred modifications and other TAAMS modules (Probate and Appraisals).

V. TAAMS Ongoing Operations

After the Executive Management Decision on June 25, 2001, the deployment schedule will be finalized with major milestones identified for the following groups:

Group A – Rocky Mountain, Southern Plains, Alaska and Eastern Oklahoma Regions

Group B – Northwest, Southwest, Western and Navajo Regions

Group C – Pacific, Great Plains, Midwest and Eastern Regions

Based on a successful UAT of TAAMS and successfully running parallel with the legacy systems, the following **tentative** deployment schedule for title and realty will be reviewed and finalized for the following Groups:

Group A:

- Rocky Mountain July – October 2001
- Southern Plains October – December 2001
- Eastern Oklahoma October – December 2001
- Alaska October – November 2001

Group B:

- Southwestern January – March 2002
- Navajo February – May 2002
- Western April – July 2002
- Northwestern June – September 2002

Group C:

- Great Plains September – November 2002
- Midwestern October 2002 – January 2003
- Eastern December 2002 – February 2003
- Pacific January – March 2003

The TAAMS project management team developed a more focused deployment approach that stresses the successful conclusion of all preliminary data cleanup, conversion, and data analysis and deployment activities. As a result, the deployment schedule depends on the successful migration of the data from the legacy systems and also training of the BIA and contractors' staff on how to use TAAMS and training on the BIA business process. Data cleanup and training could have a major impact on the deployment schedule for TAAMS. Because of the final development and complexity of TAAMS, there is a need for more detail and specialized training on "How to Use TAAMS" and training on the BIA's Business Processes will follow afterwards. The BIA established a training committee in March to address all the training needs of personnel with Land Records and Title and Realty responsibilities. In the remainder of FY 2001, training will be conducted for Central Office Realty personnel and appropriate staff in the regions comprising Group A.

As stated in the third quarterly report to the Court, the changes that come with the use of TAAMS will have a dramatic impact on the daily routine of BIA and tribal staff. Management oversight, training, and staff and tribal orientation are planned to mitigate this issue.

IV. Corrections/Changes to the HLIP or Previous Quarterly Reports: As noted above, various schedule adjustments have been made.

V. Milestone Chart for TAAMS.

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

V. Milestone Chart for Trust Asset and Accounting Management System

Trust Asset and Accounting Management System (TAAMS)

Project Manager: Chester Mills, BIA

	Milestone Title	HLIP 2 Date	Revised Date*	Status
	Milestones due or changed this report cycle (02/01/01 – 04/30/01) 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)	05/31/01 (5QR)
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)	06/01/01 (5QR)
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 will implement a reengineering effort that redesigns and streamlines the RMP's business processes, scheduled for October, 2001.

II. Summary of Milestones Due this Quarter:

K8. Build and Test Application Components – *This milestone, scheduled to be completed February 28, 2001 was completed April 15, 2001.* The delays occurred due to myriad issues associated with transforming long held MRM business processes and procedures to the new environment and COTS software. This delay had no adverse effect on the overall schedule because MMS and its contractor, Accenture, were able to continue to move forward on most phases of building and testing. This delay contributed to a slight delay in the completion of the test data conversion.

K9. Design, Build and Test Data Conversion – *This milestone, scheduled to be completed April 28, 2001, has been rescheduled to May 15, 2001.* The delay will have no adverse impact on the overall schedule. The “mock” data conversion has been very useful in early identification and resolution of data discrepancies that would have otherwise complicated and potentially delayed the actual conversion.

III. Summary of Ongoing Activities:

C. Benchmark the Process. MMS is in the build and test phase of reengineering and is thus delaying additional active benchmarking until the systems are in operation.

E. Obtain Customer/Constituency Input. MMS continues to actively involve State and Tribal representatives in the development and testing of MMS' future systems. Several of these representatives are dedicated to the joint development team now in place. MMS meets regularly with the State and Tribal Royalty Audit Committee, composed of members from ten States and seven Tribes, to provide briefing and solicit input on the reengineering systems and process development, testing, and implementation. The most recent three-day session was held in April 2001 in Lakewood, CO. MMS recently briefed the Royalty Policy Committee at their March meeting in New Orleans to discuss policy issues, to provide the members information on the status of reengineering, and to continue to solicit their input. MMS is also conducting a series of meetings

in various cities with industry representatives and trade groups to coordinate the new reporting formats and electronic reporting requirements.

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

Completion dates for K8 and K9 have been revised. Task K11 was added to reflect the completion of the final system security plan in August 2001.

V. Milestone Chart for MMS Systems Reengineering.

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

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

<u>Milestone Title</u>	<u>HLIP 2 Date</u>	<u>Revised Date*</u>	<u>Status</u>
Milestones due or changed this report cycle (02/01/01 – 04/30/01) 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	08/31/00 (2QR) ..	10/13/00 (4QR) ..	Completed
K6. Data Conversion Plan Finalized.....	10/13/00 (2QR) ..		Completed
K7. System Test Plan Finalized	12/15/00 (2QR) ..		Completed
K8. Build and Test Application Components.....	02/28/01	04/15/01 (6QR) ..	Completed
K9. Design, Build and Test Data Conversion	04/30/01	05/15/01 (6QR) ..	
K10. Plan and Execute Functional and Performance Acceptance Test	08/31/01		
K11. Complete Final System Security Plan	08/31/01 ..	08/31/01 (6QR) ..	
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.

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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:

AA. Complete Plan to Comply with Electronic Records Regulations. *This milestone was scheduled to be completed by March 2001 but was not met.* After unsuccessful discussions with three vendors about assistance with an electronic records program for OST and BIA, OTR ultimately contracted with Millican & Associates, Inc. (Millican) to develop OST Electronic Records Policy, analyze the condition of electronic records in OST, and develop a plan for reaching compliance. Millican began work on this project in March and by the end of the reporting period had made significant progress in completing the deliverables. The OST phase of this project is to be completed in May. The current task order does not include the BIA portion of the milestone, but that task has been contracted with Millican through a Department-wide effort to produce similar studies of electronic records policies, gaps between the policies and current practices, and a "roadmap" for closing the gap.

BB. Complete Vital Records Plan. *This milestone, scheduled to be completed by April 2001, has not been met satisfactorily.* The intent of the milestone is to provide a plan for potentially hazardous impacts to records that lead to the establishment of a vital records program. Work provided to date under contract needs elaboration. Vital records are those records that BIA and OST would need to meet operational responsibilities under national security emergencies or other emergency or disaster conditions to protect BIA and OST legal and financial rights and those individuals affected by BIA and OST activities. Vital BIA trust records include such trust documents as orders determining heirs, deeds, lease contracts or agreements, and land plats. Vital OST records include documents such as application for advance of funds, field receipts, individual Indian account application, and deposit ticket/certificate of deposit. Emergency operating records include documents such as emergency plans and directives, orders of succession, delegations of authority, and selected program records needed to continue the most critical operations. Legal and financial rights records include not only those documents that support activities directly impacting the rights of

individuals affected by BIA and OST activities, but also documents such as accounts receivable, payroll, retirement, and insurance records. A contract was awarded to Bradson Corporation in November 2000 to develop vital records plans for BIA and OST trust records. An action plan was developed and preliminary development of the plans started in November. Bradson has submitted a number of draft plans and comments on the drafts that have been provided to Bradson. Once completed, the plan will provide specific guidance on how to identify, protect, cycle, and store vital records; user friendly directions and checklists to assist with establishing and maintaining an effective vital records management and recovery program; and guidelines needed to respond to an emergency with maximum efficiency and minimum loss of vital records. OTR will use the plan to implement BIA and OST vital records programs including identifying and inventorying trust records, identifying roles and responsibilities for the continuous day-to-day management of vital records, at the local level, and conducting tests and evaluations of BIA and OST vital records management program.

III. Summary of Ongoing Activities:

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

Under this milestone the software was scheduled to be selected by May 2000. It was. The software selected in May, 2000 will be used to populate the database; a task is scheduled to be completed by December 2001. During this reporting period the identification, analysis and preparation of existing inventories continued. A Microsoft Access database was developed to provide standardized data collection by Iron Mountain in inventorying new accessions. This software is installed in three locations: The OTR Hawkins Records Center, the Iron Mountain Facility in Albuquerque, and, soon, the Iron Mountain Facility in Portland. Since available Iron Mountain hardware (PCs) would not support the software, Iron Mountain will use OTR hardware to enter inventories. This effort will facilitate consolidation of inventories into the Versatile database, eliminate inconsistencies, and reduce keying errors. Two additional databases were developed for Records Management Services. One will automate the assessment form. The second will capture the Records Control Schedules -- data will be standardized for use with Versatile so that records retention schedules can be applied to the records inventory. In March, a Versatile specialist reviewed existing computerized inventories of records in order to develop a data mapping plan for migration into Versatile, developed the specifications for a custom add-on that would facilitate the control of boxes that are destined for a Federal Records Center, and conducted training with records managers responsible for developing and controlling the program specific record series. Three major inventories developed by DataCom Sciences during the OTFM data cleanup have been integrated into one to facilitate research and prepare for migration into Versatile. The remaining, smaller files will also be integrated.

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

This ongoing milestone started in April 2000. During this reporting period, the Indian Affairs Records Management (IARM) staff conducted evaluations at six BIA locations. To date, evaluations have been conducted at 48 of an identified 95 BIA locations, excluding Office of Indian Education

Program, law enforcement locations, Office of Trust Funds Management, and tribal locations. A limited number of evaluations were conducted this reporting period because the majority of the IARM resources were shifted to other functions, including the development of trust records control schedules. Plans for the next reporting period include completing evaluations at the Rocky Mountain, Eastern Oklahoma, and Navajo Regions, as well as six remaining Great Plains agencies.

W. Initiate Action to Replace Historical Records with Working Copies. This ongoing milestone started in May 2000. A number of BIA locations have been identified to participate in pilot projects: Branch of Water Rights Protection in the Southwest Region, the Colville Agency in the Northwest Region, Miami Field Office in the Eastern Oklahoma Region, Turtle Mountain Agency in the Great Plains Region, and the Land Titles and Records Office (LTRO) in the Southwest Region. IARM is working with the National Archives and Records Administration (NARA) to determine the best overall technological solution to each individual situation—microfilm, microfiche, or electronic document imaging. Microfilm was determined to be the best solution for the water rights project; document-imaging best fits the needs at Colville. A preliminary assessment of the Southwest Region's LTRO records situation was conducted in March, and the assessment of the records at the Turtle Mountain agency is scheduled for May. Work on this milestone is expected to continue for many months. Future work will include the time-consuming task of properly preparing the records for copying. In addition, IARM will need to work with NARA and the BIA to define the types of documents for which working copies must be made and those that can be sent to the Federal Records Center (FRC) without copies being made. During this reporting period IARM also worked with the Great Plains Land Title and Records Office, which has agreed to prepare a proposal on records to be copied.

DD. Complete Submission of Records Control Schedules to NARA. This milestone is scheduled to be completed no later than June 2001. While a majority of IARM staff time was allocated to activities associated with this milestone during this reporting period, given current circumstances, OTR expectation is that only three of seven trust records schedules will be submitted by June 2001. Delays in receiving necessary information from BIA and OST employees whose participation is essential in the development of the schedules contributed to the delay. The biggest obstacle, however, was the realization by IARM staff that its initial strategy of completing all schedules at one time was not possible. As a result, in order to ensure that the trust schedules are not merely adequate but are quality documents as well, IARM needed to change its original strategy and focus on completing the schedules on a rolling basis. The remaining trust schedules will be submitted to NARA by September 2001. During this reporting period, IARM staff made onsite visits to 21 trust program offices throughout Indian Country to do an inventory of records that are created, received, and maintained at the various levels of the BIA—central, regional and agency offices. To date, 587 different records series (a series is a collection of records sharing a function or format) have been identified. This includes both scheduled and unscheduled records. A major effort is being exerted to review and analyze data to determine active versus inactive records series as well as gaps in existing schedules. Changes to the organizational structure of BIA and OST, as well as changes to how BIA and OST, as well as to how BIA and OST

do their work, and the types and volumes of records that are now created and maintained by the two organizations. Putting order into the massive amounts of information being reviewed has been a protracted endeavor. Additionally, there have been a number of changes to the organizational structure of BIA and OST since 1989, as well as changes to how BIA and OST do their work, and the types and volumes of records that are now created and maintained by the two organizations.

HH. Complete Project to Cleanup Existing Disposition Backlog at BIA Agencies. This milestone is scheduled to be completed no later than May 2002. During this reporting period the IARM staff visited two BIA locations to assess records backlogs and to identify records that can be transferred to a FRC or other appropriate storage sites. The IARM contractor—Iron Mountain—opened a second records staging facility in Portland, Oregon, in February. The contractor now has two operations facilities being utilized by IARM to organize, inventory, and prepare BIA records for retirement to the Lee’s Summit FRC or disposal, as appropriate. The Iron Mountain Albuquerque facility is very close to completing the cleanup work on records from the Rocky Mountain Region. They have also been working on a small number of records from one or two other BIA locations, and when Rocky Mountain has been completed they will focus on transferring Navajo Region records to Albuquerque to begin the same systematic organizing and inventorying process for Navajo Region records. The Iron Mountain Portland facility moved, repacked, organized, and labeled approximately 1,500 boxes of Northwest Region records that are being prepared for retirement to the FRC. An additional 680 boxes were recently picked up from the Regional Office. These boxes will also be repacked, organized, labeled, and inventoried. The condition of the boxes of records that both Iron Mountain facilities are working on vary from well organized to complete disarray. Therefore, the time involved in organizing and preparing the records for retirement to the FRC varies depending on the degree of orderliness of the records in the boxes. Iron Mountain has routinely consulted with IARM to resolve uncertainties about a specific records series or concerns with the condition of a specific record. This consultation has now been formalized to consist of routine weekly onsite quality checks being conducted by IARM staff at the Albuquerque Iron Mountain facility and documentation of these activities. In addition, during this reporting period, 587 boxes of BIA records were approved for retirement to the FRC. Since the moratorium on sending records to the FRC was lifted in April 2000, over 4,000 boxes of BIA records have been inventoried and transferred to the FRC or the National Archives.

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

Y. Award New Contract for OST Imaging. This milestone was scheduled to be completed by November 2000 and an imaging contract was issued on November 29, 2000. The contract was terminated on March 16, 2001. Some of the issues that contributed to the decision to terminate include:

- Although production began on January 15, as of March 15 the contractor had not produced any CDs that passed quality assurance. A “test” CD was not produced until February 15, 2001, and it failed.
- The order of the paper “Daily Work” documents being scanned was not established before the start of the project. Cost for re-filing documents was estimated at more than \$350,000.
- The contractor was requesting an equitable adjustment of \$365,000 for a change to the index scheme. The changes were the addition of a field and the redefinition of other fields from numeric to alphanumeric.
- The project was expected to take approximately five times as long as estimated. Consequently, the quality assurance task was estimated to increase from approximately \$100,000 to \$500,000.
- The ARCIS software purchased in 1998 and used for the pilot is not flexible enough to support multiple indexes referencing one image. Possible solutions were to make multiple copies of the images, significantly increasing the cost of the project since the contractor was to be paid per image, or delay the project while custom software programs were written. In addition to the cost of programming (est. \$54,000) OTR anticipated the contractor would seek another adjustment to compensate for an estimated 6 weeks.

OTR will reevaluate the imaging project. An analyst has been acquired through contract to prepare a high-level analysis of industry practice and successes in the development and implementation of complex imaging systems; an outline of issues to consider when planning large scale imaging projects with multiple purpose accessibility; identify possible alternatives to imaging as a solution to records access across a wide geographic area; and provide references to successful imaging installations the size and scope of OST.

V. Milestone Chart for Records Management.

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

V. Milestone Chart for Records Management

Records Management

Project Manager: Ken Rossman, OST

	Milestone Title	HLIP 2 Date	Revised Date*	Status
	Milestones due or changed this report cycle (02/01/01 – 04/30/01) 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).....	Reopened (6QR) .. TBD
Z.	Publish Proposed Regulations for Compacted/Contracted Trust Program Records	12/31/00	01/22/01 (5QR).....	Completed
AA.	Complete Plan to Comply with Electronic Records Regulations	03/31/01		TBD
BB.	Complete Vital Records Plan	04/30/01		TBD
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:

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.

E7. FWS: *This milestone was scheduled to be completed February 28, 2001. This milestone date was met.*

E8. BIA: *This milestone was scheduled to be completed March 30, 2001, and was completed on April 16, 2001.* The report provides a summary of existing regulations and identifies inconsistencies with the Trust Principles set forth in Secretarial Order No. 3215 and 303 DM 2 (in which the provisions of the Order were made a permanent part of the Departmental Manual). The report indicates whether the regulations should be amended or repealed. The report also includes an initial list of statutes that should be repealed or amended. This list of statutes is expected to grow as the BIA further analyzes the statutory requirements in conjunction with the regulatory update, since there may be hundreds of laws impacting trust duties that have never been codified. The report also identifies whether implementing guidance (manuals and handbooks) exists and when it was last updated. Finally, the report recommends to the Department's Trust Policy Council a multi-year schedule for completing the tasks identified.

In producing this report, the BIA reviewed approximately 75 subject areas that are either covered by existing regulations or that could benefit from formal regulatory guidance. In addition, the BIA sent a survey to all Indian tribes and all regions requesting assistance in establishing the priorities for updating regulations, policy manuals, and operational handbooks. The BIA received 162 responses to this survey and the priorities identified by the respondents were considered in formulating a proposed schedule to complete the update of BIA policies and procedures.

E10. NPS: *This milestone was scheduled to be completed February 28, 2001. This milestone date was met.*

III. Summary of Ongoing Activities:

H. Revise and Develop Internal Program Guidance Where Needed. The development and revision of internal program guidance is the responsibility of the BIA program offices. The Policies and Procedures subproject continues to coordinate with the responsible program offices in order to schedule and track the progress of such guidance and to provide general direction with respect to any matters relating to trust reform, and provide direction aimed at ensuring consistency with the Department's Trust Principles. BIA program offices are developing handbooks correlating with the new regulations on leasing (25 CFR Part 162), grazing (25 CFR Part 166), and probate (25 CFR Part 15; under the direction of the Probate subproject).

C. Develop Departmental Regulatory Initiatives

C2.MMS

C2c. 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 has been held in abeyance pending resolution of the implications of other litigation, and presently awaits highest level policy review.

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

V. Milestone Chart for Policies and Procedures

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

Quarterly Report to the Court Number Six

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

		HLIP 2		
	<u>Milestone Title</u>	<u>Date</u>	<u>Revised Date*</u>	<u>Status</u>
<u>Milestones due or changed this report cycle (02/01/01 – 04/30/01) are shaded.</u>				
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	01/22/01 (5QR) ...	Completed
	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		05/02/00 (2QR) ...	Completed
	C3b. Publish Proposed Rules		12/30/00 (2QR) ... 06/15/01	
	C3c. Publish Final Rules	TBD	07/31/01 (4QR) ... 10/31/01 (5QR)	
D.	Identify Departmental Programs and Functions that Affect Indian Trust Resources			
	D1. Prepare Agency Guidance Memorandum		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		Completed
	E8. BIA	03/30/01	4/16/01 (6QR) ...	Completed
	E9. BLM	10/31/00		Completed
	E10 NPS	02/28/01		Completed
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.

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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:

M. Develop Courseware Not Available for Non-Systems Training. *This milestone, scheduled to be completed by April 30, 2001, was missed. A new date for the completion of this milestone is July 31, 2001.*

Development continues for the curriculum for the Trust Foundations 2 course, the second customized training course developed as part of the non-systems training effort. The curriculum currently is in draft form and will continue to be refined and edited for accuracy and clarity. Before its rollout, a pilot of the Trust Foundations 2 course will be held to determine if the curriculum needs any additional modifications before it is provided to the entire training audience.

The Trust Foundations 2 class builds upon the material included in the Trust Foundations 1 course, which currently is provided to employees in several locations nationwide. This will be a three-day course that introduces employees to the entire process involved in the management of the Indian trust assets. It will provide general information about the trust relationships and responsibilities of each Departmental office, bureau and compacting and contracting Tribe in the management of the trust assets. The course will use a series of role play scenarios to illustrate what parties are involved in various aspects of trust management, which office functions or responsibilities overlap, and the potentially adverse impacts to trust beneficiaries when a problem occurs in one piece of the larger trust management process.

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.

A TAAMS Training Committee consisting of BIA Regional and Agency staff and contractors was established in March 2001. The Training Committee will focus on the Training Criteria for both the Title and the Realty Modules pertaining to "How to use TAAMS" and the BIA "Business Processes." The Committee has identified courses and developed a training matrix for various disciplines of the Title and Realty functions.

TAAMS Training is a critical component of the entire TAAMS program. Therefore, to increase the chance of a highly successful training program, the Training Committee recommended Regional and Agency personnel be identified as Super Users to assist in the training program. The Super Users are highly skilled current users of Title or Realty (IRMS) software. The development of this cadre of users is considered critical to the development of course material, reference guides and the successful implementation of TAAMS.

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, including the Customer StrataStation, which was fully implemented in all Regions, Agencies and Field Locations as of April 5, 2001, has been offered to 60 OTFM field staff. TFAS overview training has been conducted for 17 BIA staff during this quarter.

N. Implement Training. The implementation of the non-systems training program is an ongoing activity to ensure that employees who have been identified as members of the training audience are informed about the availability of courses offered in their regions and the course registration process. Because training attendees include employees from several Departmental bureaus and offices, as well as trust personnel from contracting and compacting Tribes, this effort includes a substantial outreach component. Articles announcing the training program have been published in the OST newsletter as well as the Departmental monthly newspaper. Additionally, letters have been sent to all the compacting and contracting tribes informing them of the training program.

Obtaining feedback and comments from both employees and instructors on the training experience also is a useful tool to determine if changes or modifications to the course or course facilities are necessary. Evaluations of the training course are therefore completed following every course. These evaluations are compiled and reviewed to determine if any changes are necessary, and to measure training effectiveness.

O. Schedule and Deliver Non-Systems Training. The rollout of the non-systems training program began January 30, when the first course, Trust Foundations 1, was offered. As of April 30, 2001, 90 of Trust Foundations 1 courses have been offered to trust asset management employees at nine different locations nationwide. Approximately 864 employees have taken the course to date. This course must be taken before employees attend Trust Foundations 2, or any of the other courses to be offered as part of this general trust training effort.

Training continues to be ongoing at several locations nationwide on a weekly basis. The course 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:

M. Develop Courseware Not Available for Non-Systems Training. A new milestone date for the completion of the Trust Foundations 2 curriculum is July 31, 2001.

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 (02/01/01 – 04/30/01) 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) ... 07/31/01 (6QR)	Revised
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.

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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:

No milestone due dates fell within this reporting period.

III. Summary of Ongoing Activities:

K. Coordinate with Affected Bureaus/Offices to Develop Action Plans.

The Office of Trust Risk Management (OTRM) continued working with several trust management entities and initiated contact with several others. Management control programs are being developed for some of the smaller central office activities and work is ongoing to facilitate program development at several regional and agency offices in the BIA, for the MMS and its primary Indian related field offices. In addition, OTRM is monitoring the development and implementation of the OTFM's management control program. These activities will be continued and expanded in coming periods.

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

V. Milestone Chart for Internal Controls

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

Quarterly Report to the Court Number Six

Internal Controls

Project Manager: Ken Moyers, OST

HLIP 2

	<u>Milestone Title</u>	<u>Date</u>	<u>Revised Date*</u>	<u>Status</u>
	<i>Milestones due or changed this report cycle (02/01/01 – 04/30/01) are shaded.</i>			
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:

A. Acquire Project Staff and Funding. *This milestone was due on March 31, 2001.* A full time project manager was appointed in March 2000 and began hiring staff. The Project Manager accepted another position in November 2000 and transferred away from the organization. The Principle Deputy, Special Trustee is leading a team of senior OST managers to oversee this project. Two people were hired in the summer and fall of 2000 and most of the analysis work was being contracted. Project funding was estimated, requested and approved. Portions of the contracted work have been completed, others continue. Plans for additional hiring have been deferred pending completion of the contracted analyses, and coordination of this work with the Department's broader effort towards an historical accounting.

H. Decision on Methodology of Researching Missing Mandatory Documents in IIM File Folders. *This milestone was due on March 31, 2001. The milestone was met.* It relates directly to work being performed under Milestone P (Locate Missing Documents) of the OST Data Cleanup subproject. Following the initial successes (documents have been obtained directly from individual account holders in 413 of 472 cases to date), the decision was made at the end of February 2001 to use a similar approach for other missing mandatory file jacket documents. (The pilot effort dealt with a stratification of account holders who had cumulative disbursements exceeding \$5,000 over a 12-month period). The methodology adopted involves the use of contractor assistance to write up to three letters to individual "unrestricted" account holders seeking documents missing from that individual's OST file jacket.

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.

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

The recent Appeals Court decision, coupled with the Department's efforts to organize a historical accounting for IIM accounts prompts reconsideration of the previous approach for assessing the historical period, from both a records acquisition and an accounting standpoint. Therefore, the Information Collection project will be reassessed in terms of strategy and approach with a view towards coupling this effort with the Department's historical accounting initiative. For instance, under the Information Collection project, data and information on the Department's documentation for, and ability to perform, a full accounting is being developed. This information will be valuable to organizing an historical accounting. Discussions are underway between the respective project managers and assigned staff. A final recommendation and management decision will occur in the May/June 2001 timeframe.

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

		HLIP 2		
	<u>Milestone Title</u>	<u>Date</u>	<u>Revised Date*</u>	<u>Status</u>
Milestones due or changed this report cycle (02/01/01 – 04/30/01) are shaded.				
A.	Acquire Project Staff and Funding	10/31/00	03/31/01 (4QR) ...	TBD
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) ...	Completed
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.

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2. RETENTION OF IIM-RELATED TRUST DOCUMENTS

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

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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 architected operating environment.

II. Summary of Milestones Due this Quarter:

G. Technology Architecture - *This milestone, due April 15, 2001, was not met. The revised date is May 15, 2001 (refer to part IV on "Changes/Corrections to the Project Plan or Previous Quarterly Reports").* The technology architecture defines the major kinds of technologies needed to provide an environment for the applications that are managing the trust management data. The Technology Architecture Report includes not only specific technologies that industry trends indicate are best suited to meet the Trust Management business needs, but also includes guidelines for making technical decisions as modifications in systems are considered.

III. Summary of Ongoing Activities:

Technology Architecture - The Architecture Workgroup developed the Technology Architecture by reviewing the existing technologies currently supporting Trust Management activities, by assessing the industry trends regarding those technologies, and by identifying new and emerging technologies that will be needed to support applications. Further, guidelines were developed to assist the business community in making technical decisions when modifications are considered to current or planned systems.

Implementation Plan (renamed Tactical & Strategic Recommendations) – The Trust Management Architecture Workgroup is developing a set of recommendations for consideration of the Oversight Committee and proposed projects covering a Tactical Phase (within the next 3 years) and a Strategic Phase (more than 3 years). These projects would build upon the scheduled implementation of new systems (TAAMS, MRM, and others) and outline a plan for making continued improvements, developing specific projects to address known problems, and implement approved recommendations, to include configuration management procedures. The Tactical & Strategic Recommendations are scheduled to be published July 1, 2001.

Transition to Implementation – The purpose of this phase is to describe activities that the Working Groups is recommending as part of a transition from the definition stages of an enterprise architecture plan to the design stages of implementation. This phase includes Tactical & Strategic Recommendations that propose details of implementation, that will be reviewed by the Trust Management Architecture Technical Oversight Committee for possible inclusion. The Final Report will contain the recommendations approved for further analysis or implementation. The subsequent

Transition to Implementation plan outlining specific implementations will be written at that time, replacing the TBD in this quarterly report with specific dates.

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

Technology Architecture milestone Completion Date was revised from April 15, 2001 to May 15, 2001. This change was made to provide additional time for Bureau and Office technical representatives as well as the Trust Management Architecture Technical Oversight Committee to review and coordinate with Department and Bureau-specific technology architecture development efforts currently underway. Because of this change, the Implementation Plan (renamed Tactical & Strategic Recommendations) completion date was revised from June 1, 2001 to July 1, 2001. The target date for the Final Report (August 15, 2001) is also under consideration for extension to allow a more comprehensive review.

**V. Milestone Chart for Computer and Business Systems Architecture Framework Plan
Subproject Manager: Julia Laws, PMB**

	Milestone Title	HLIP 2 Date	Revised Date*	Status
	Milestones due or changed this report cycle (02/01/01 – 04/30/01) 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	05/15/01 (6QR)	
H.	Implementation Plan	06/01/01	07/01/01 (6QR)	
I.	Planning Conclusions - Final Report.....	08/15/01		
J.	Transition to Implementation.....	TBD	dependent upon.....	TBD
			business decisions	
			based on Final Report.....	

* 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:

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. *This milestone due 2/1/01 was met.* Through the normal process of preparing and submitting the annual President's Budget, this milestone was accomplished.

K. Forecast Future: Examine Organizational Objectives and Identify Workforce Competencies Needed to Achieve Them. *This milestone due 4/30/01 was met.* A survey, conducted by contractor Booz, Allen and Hamilton, Inc., identified BIA, OST and BLM positions with trust management responsibilities. The survey went on to characterize the role(s) that identified positions and occupational groupings played in carrying out trust management business processes.

The contractor also identified a suite of workload drivers that would cause changes in business process activity. BIA, OST and BLM staff contacted their program and field offices to obtain current workload driver data and, using the workforce estimating tool provided by Booz Allen, developed preliminary forecasts of the kinds, numbers, and locations of positions necessary to carry out trust management work in FY-2002. Minerals Management Service (MMS) and the Office of Hearings and Appeals (OHA) already have workload planning procedures in place. Workload drivers are key indicators of work that correlate to the number of staff required to perform a function.

M. Identify Competency Gaps and Surpluses Based on FY 2001 Appropriations from Congress. *This milestone due 4/30/01 was met.* The basic funding and full-time-equivalency (FTE) parameters of the proposed FY2002 BIA, OST, and BLM budgets, including workforce forecasts developed under K above, were compared with current FY 2001 staffing. Differences were noted. No location was found with a surplus, either in a particular occupation (group of competencies) or overall. On the other hand, many locations have been identified as requiring additional positions associated with a variety of competencies.

III. Summary of Ongoing Activities:

Next quarter, work toward milestone “N,” (“Develop plan to transition from workforce per the 2001 enacted budget to future workforce”) should be completed, as scheduled, by May 31. This plan will call for the development of a FY-2002 staffing plan for trust management activities in BIA, OST, and BLM. The staffing plan will identify current positions and vacancies to be filled, in an attempt to optimize allocation of FY 2002 resources to trust management work.

In April 2001, as part of the budget planning process for FY 2003, work was begun in estimating the budget and FTE resources needed for FY 2003. This work will continue using techniques and tools similar to those being applied to allocation of the FY 2002 budget (see milestones “O” and “P”).

IV. Changes/Corrections to the Project Plan:

The report of the contractor, Booz, Allen, and Hamilton, included a number of conclusions and recommendations bearing on workforce planning and management in trust management activities. These are far reaching and suggest that a number of initiatives will be needed over the next two years to ensure that management has adequate control of its human resources. It is recommended that a new milestone “R” be established with a completion date of 10/01/01 as “Develop action plan for improvement of human resources management in trust activities.” The outcome of this planning activity will lay the groundwork for future milestones in this area.

V. Milestone Chart for Workforce Planning

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

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**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 (02/01/01 – 04/30/01) 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		Completed
K. Forecast Future: Examine Organizational Objectives & Identify Workforce Competencies Needed	10/30/00	01/31/01 (3QR) .. 04/30/01 (5QR) ..	Completed
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) .. 04/30/01(5QR) ..	Completed
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		
R. Develop Action Plan for Improvement of Human Resources Management in Trust Activities.....		10/01/01 (6QR) ..	

* 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.

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**APPENDIX A – PRE AND POST DEPLOYMENT DATA
CLEANUP TASKS: DESCRIPTIONS.** *These are descriptions of data and data anomalies being worked on by BIA in pre and post deployment data cleanup tasks.*

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.

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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.

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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:

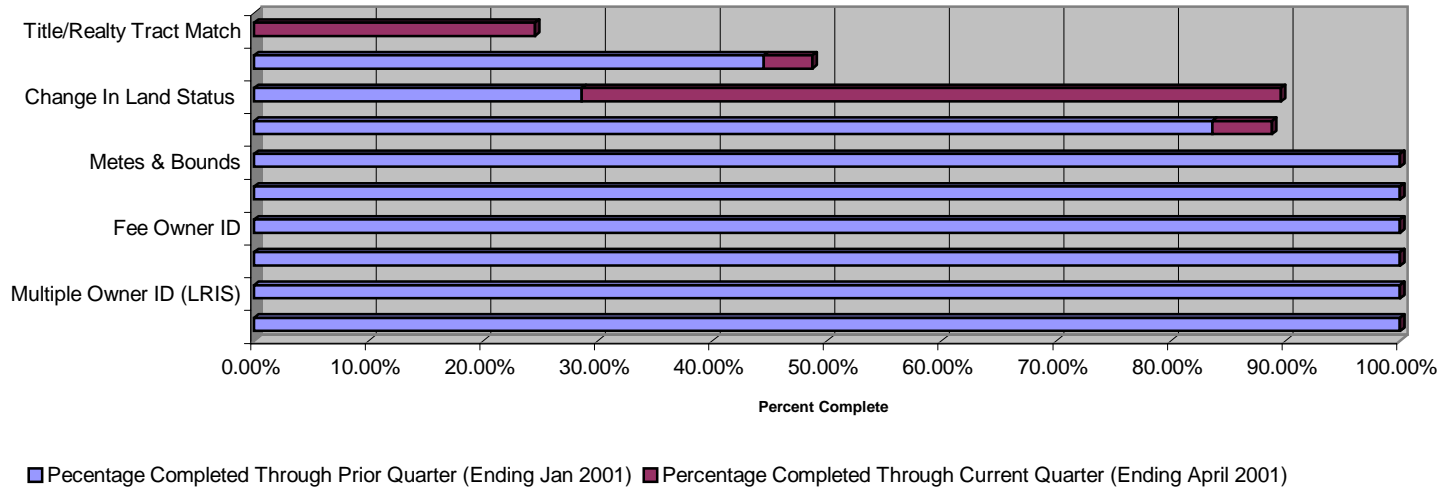
Document Acquisition/Inventory Task - The purpose of this task is to review files to locate legal land documents, record for record retention purposes, and determine what information is missing on behalf of each Tribe under the jurisdiction of the Eastern Region. Once personnel identify, review, tag, 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

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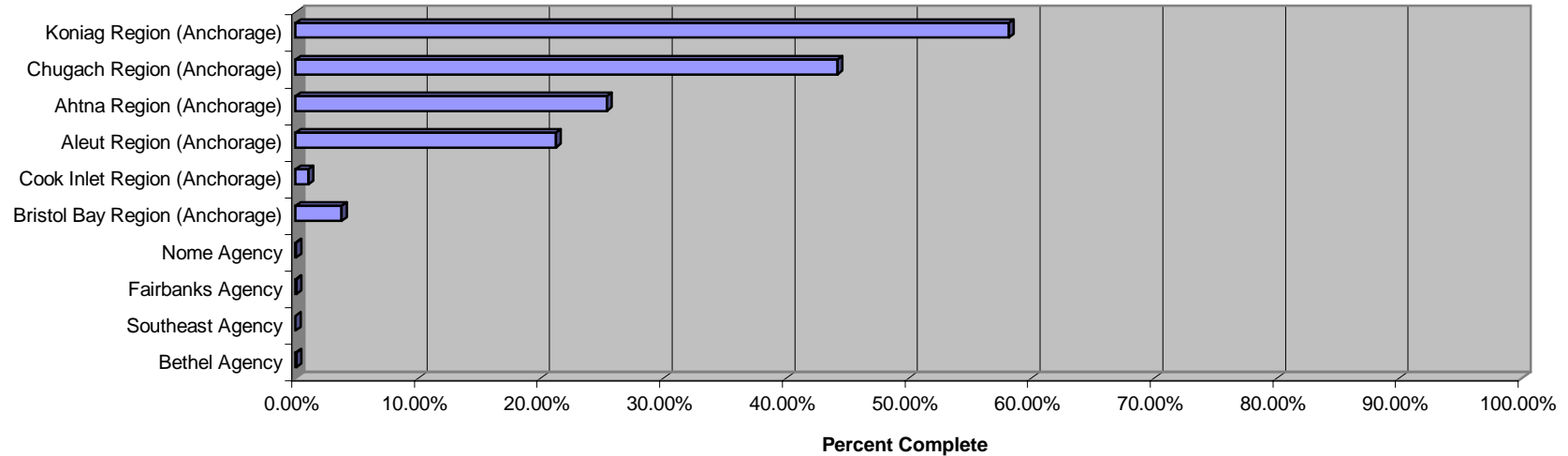
Rocky Mountain Region



Rocky Mountain	Total Work Units	Number Completed Through Prior Quarter (Ending Jan 2001)	Number Completed Through Current Quarter (Ending April 2001)	Total % Complete to Date
Title/Realty Tract Match	2,666	-	653	24.49%
Multiple Owner ID (IRMS)	4,543	2,022	2,215	48.76%
Change In Land Status	567	162	508	89.59%
IIM ID Match	789	660	701	88.85%
Metes & Bounds	1,216	1,216	1,216	100.00%
Lease Owner Inquiry (Crow & Blackfeet)	709	709	709	100.00%
Fee Owner ID	723	723	723	100.00%
Title Tract Match	477	477	477	100.00%
Multiple Owner ID (LRIS)	2,296	2,296	2,296	100.00%
Lease Owner Inquiry (Ft. Peck)	848	848	848	100.00%

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Juneau Region

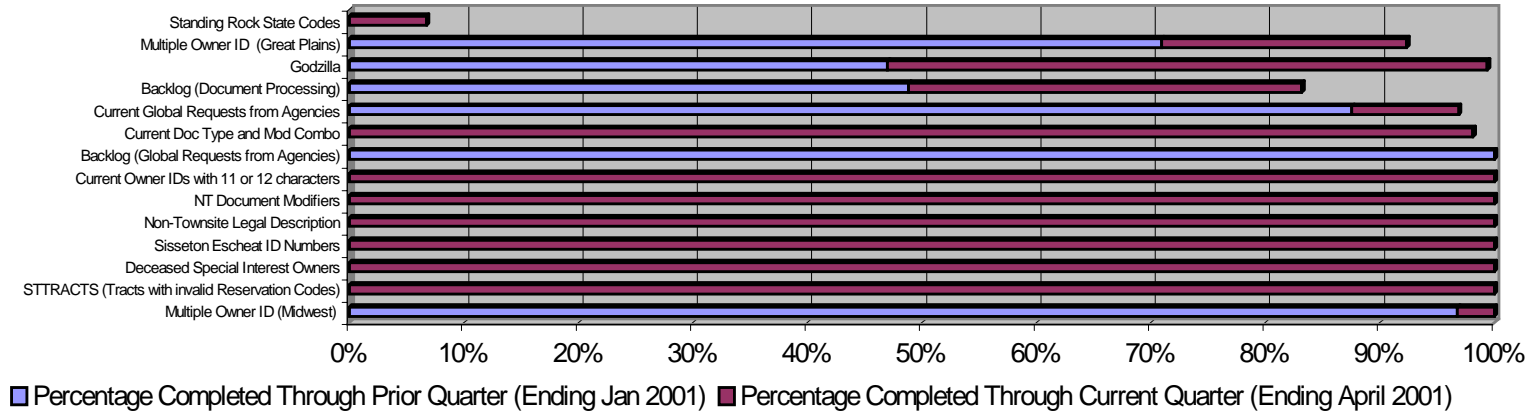


■ Percentage Completed Through April 2001

Juneau	Total Work Units	Number and Percent Completed through April 2001	
Koniag Region (Anchorage)	540	314	58.15%
Chugach Region (Anchorage)	292	129	44.18%
Ahtna Region (Anchorage)	678	172	25.37%
Aleut Region (Anchorage)	264	56	21.21%
Cook Inlet Region (Anchorage)	472	5	1.06%
Bristol Bay Region (Anchorage)	4,410	166	3.76%
Nome Agency	6,510	4	0.06%
Fairbanks Agency	8,818	8	0.09%
Southeast Agency	1,152	-	0.00%
Bethel Agency	12,208	10	0.08%

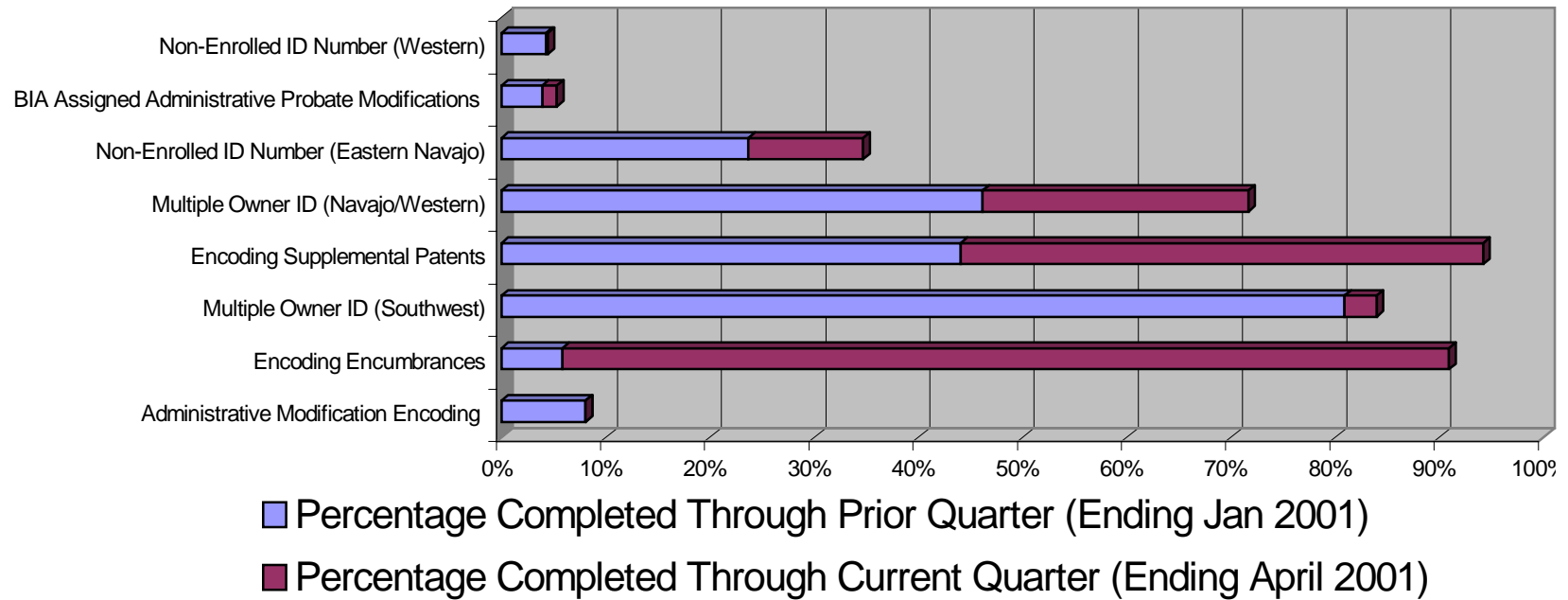
* Total work units are representative of the total cumulative numbers identified through the end of the April 2001 reporting period, and are representative of the final DataCom encoding review and final BIA certification stages only. As a result of meetings with BIA personnel from the Alaska Region, the reporting method of total work units changed since the last reporting quarter (Nov-Jan) to depict DataCom's last access and BIA's approval for each tract (Encoding Review and BIA Certification), therefore the last quarter is not depicted here. (The previous quarter depicted only DataCom Review stages).

Great Plains Region



Great Plains	Total Work Units	Number Completed Through Prior Quarter (Ending Jan 2001)	Number Completed Through Current Quarter (Ending April 2001)	Total % Complete to Date
Standing Rock State Codes	608	-	41	6.74%
Multiple Owner ID (Great Plains)	12,315	8,737	11,374	92.36%
Godzilla	653	307	649	99.39%
Backlog (Document Processing)	8,981	4,387	7,473	83.21%
Current Global Requests from Agencies	225	197	218	96.89%
Current Doc Type and Mod Combo	586	-	575	98.12%
Backlog (Global Requests from Agencies)	727	727	727	100.00%
Current Owner IDs with 11 or 12 characters	5	-	5	100.00%
NT Document Modifiers	1	-	1	100.00%
Non-Townsite Legal Description	13	-	13	100.00%
Sisseton Escheat ID Numbers	28	-	28	100.00%
Deceased Special Interest Owners	59	-	59	100.00%
STTRACTS (Tracts with invalid Reservation Codes)	30	-	30	100.00%
Multiple Owner ID (Midwest)	2,147	2,078	2,147	100.00%

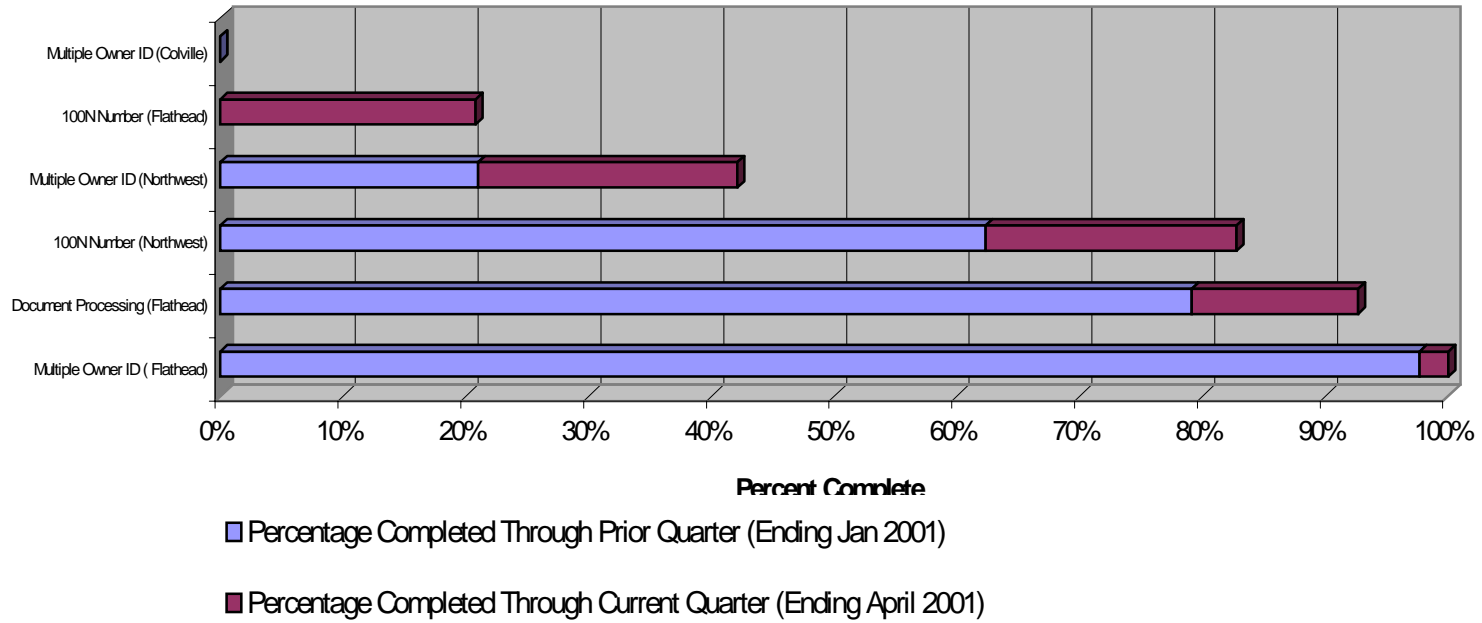
Southwest/Navajo/Western Regions



<i>Southwest/Navajo/Western</i>	Total Work Units	Number Completed Through Prior Quarter (Ending Jan 2001)	Number Completed Through Current Quarter (Ending April 2001)	Total % Complete to Date
Non-Enrolled ID Number (Western)	2,224	95	99	4.45%
BIA Assigned Administrative Probate	1,355	53	72	5.31%
Non-Enrolled ID Number (Eastern Navajo)	1,159	275	402	34.69%
Multiple Owner ID (Navajo/Western)	3,091	1,427	2,216	71.69%
Encoding Supplemental Patents	381	168	359	94.23%
Multiple Owner ID (Southwest)	938	759	788	84.01%
Encoding Encumbrances	1,007	59	916	90.96%
Administrative Modification Encoding	74	6	6	8.11%

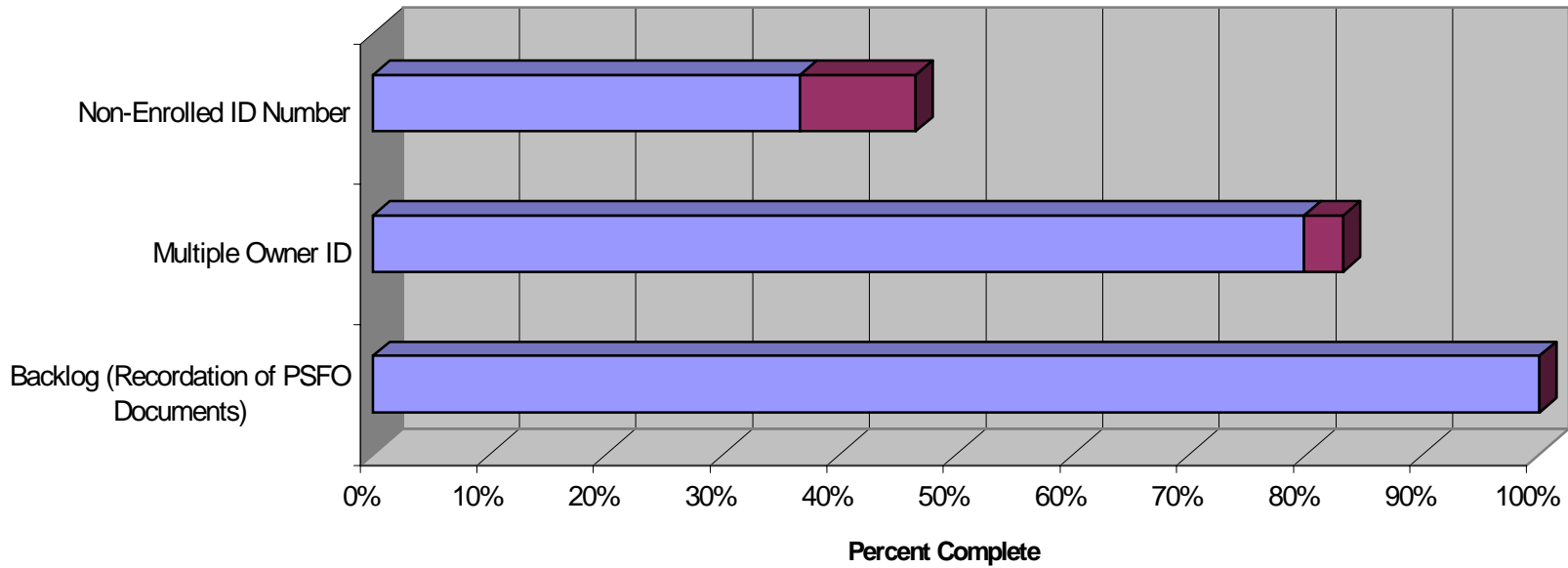
Quarterly Report to the Court Number Six

Northwest Region



<i>Northwest</i>	Total Work Units	Number Completed Through Prior Quarter (Ending Jan 2001)	Number Completed Through Current Quarter (Ending April 2001)	Total % Complete to Date
Multiple Owner ID (Colville)	540	-	-	0.00%
100N Number (Flathead)	274	-	57	20.80%
Multiple Owner ID (Northwest)	3,816	801	1,606	42.09%
100N Number (Northwest)	3,273	2,040	2,709	82.77%
Document Processing (Flathead)	1,173	928	1,087	92.67%
Multiple Owner ID (Flathead)	214	209	214	100.00%

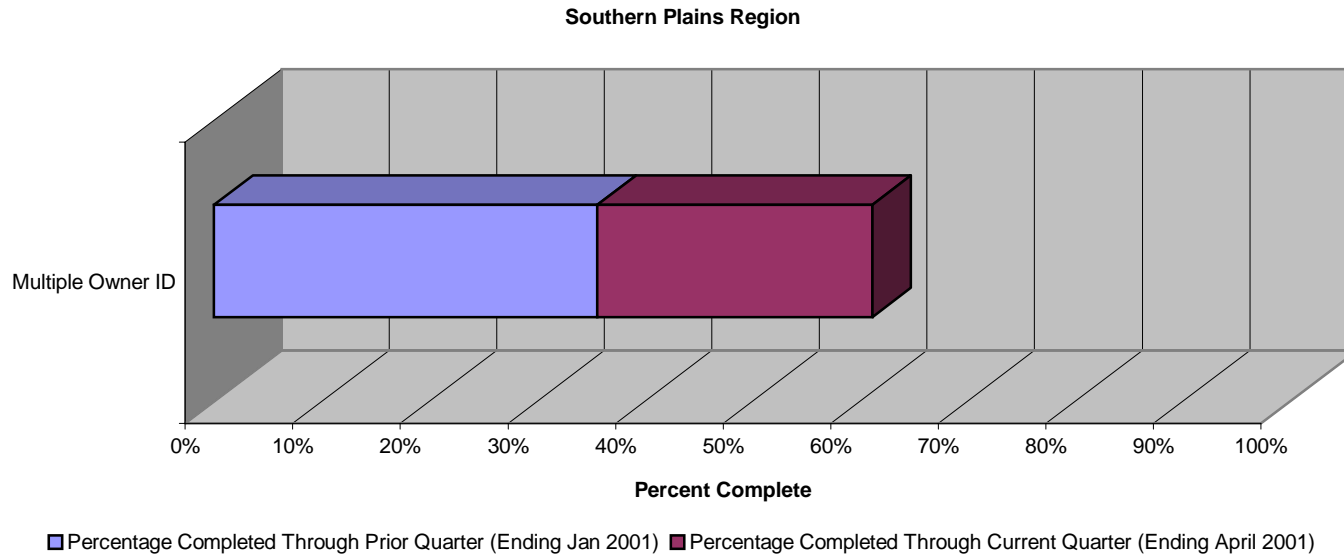
Pacific Region



Percentage Completed Through Prior Quarter (Ending Jan 2001) ■ Percentage Completed Through Current Quarter (Ending April 2001)

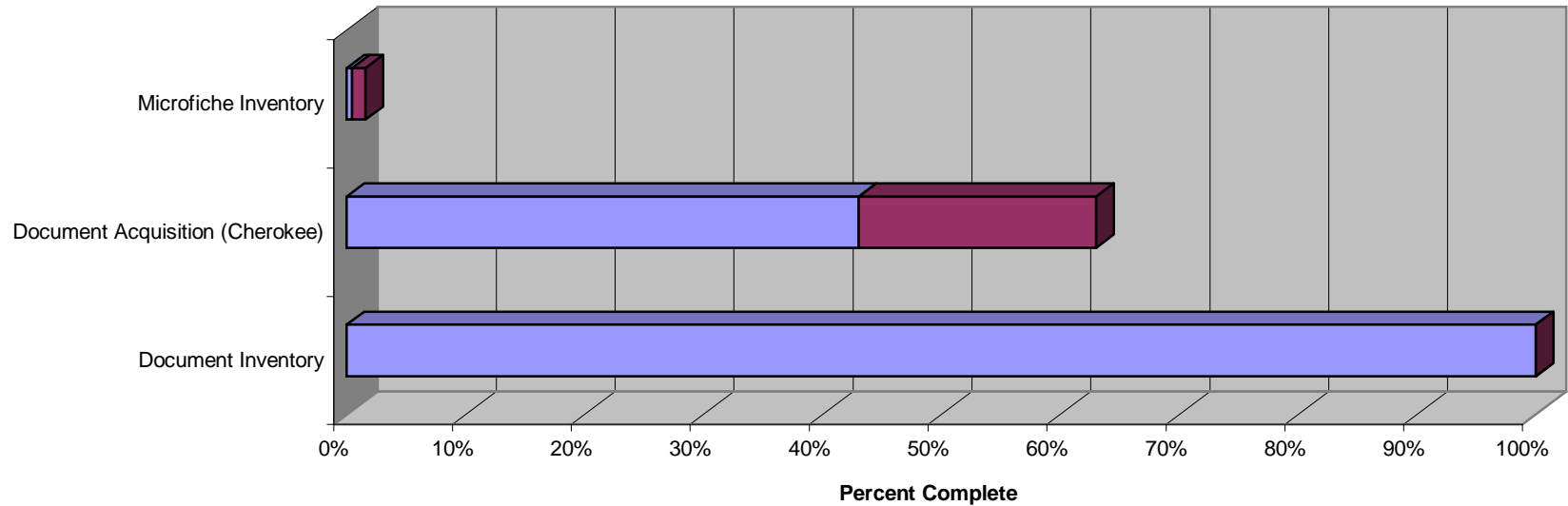
<i>Pacific</i>	Total Work Units	Number Completed Through Prior Quarter (Ending Jan 2001)	Number Completed Through Current Quarter (Ending April 2001)	Total % Complete to Date
Non-Enrolled ID Number	2,848	1,043	1,325	46.52%
Multiple Owner ID	719	574	598	83.17%
Backlog (Recordation of PSFO Documents)	924	924	924	100.00%

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<i>Southern Plains</i> ⁷	Total Work Units	Number Completed Through Prior Quarter (Ending Jan 2001)	Number Completed Through Current Quarter (Ending April 2001)	Total % Complete to Date
Multiple Owner ID	2,551	909	1,561	61.19%

Eastern Region



■ Percentage Completed Through Prior Quarter (Ending Jan 2001) ■ Percentage Completed Through Current Quarter (Ending April 2001)

<i>Eastern</i>	Total Work Units	Number Completed Through Prior Quarter (Ending Jan 2001)	Number Completed Through Current Quarter (Ending April 2001)	Total % Complete to Date
Microfiche Inventory	248,749	1,151	3,955	1.59%
Document Acquisition (Cherokee)	60,000	25,830	37,822	63.04%
Document Inventory	68	68	68	100.00%