# 4   As-Is Trust Business Model

4.1 Introduction

This chapter provides a detailed look at the eight core Indian Trust business processes. It includes descriptions and IDEF Models of each of the eight core Trust business processes that comprise the As-Is Trust Business Model, as well as variances as identified in work sessions conducted across BIA Regions. Also included is a graphical representation of the complex inter-relationship between the eight processes and a chart reflecting the regions or areas that perform the eight processes.

4.1.1 Navigating the Chapter

The intent of Chapter 4 is to provide a comprehensive, in-depth picture of the Trust business processes and how they operate. The information is presented in the following sections:

Section 4.1.2   The approach the team followed to develop the As-Is Trust Business Model baseline and to document the regional variances.

Section 4.1.3   An explanation of the terms used in describing the process IDEF models. Explanation of the symbols used in the models can be found in **Appendix E.**

Section 4.2   A foldout page with a graphic representation of the complex inter-relationship between the eight core Trust business processes.

Section 4.3   A business location matrix indicating where the high-level steps of each of the eight core processes are performed.

Section 4.4   The 8 core Trust business processes. **Figure 4.1-1** below explains how the As-Is Team segmented the activities and functions of a process, and similarly, how Section 4.4 of the chapter is organized. The detail level of each process varies due to the complexity and scope of the process.
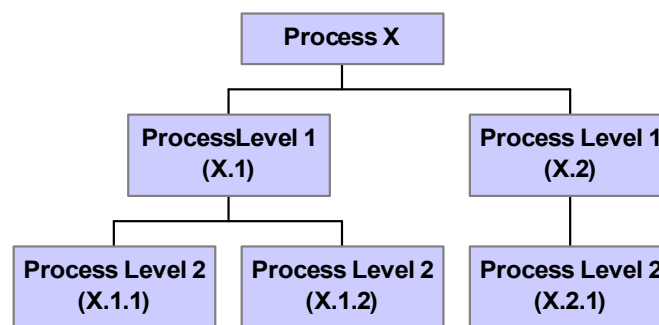
Figure 4.1-1Process Hierarchy

Each process level segment includes descriptions and IDEF models. At the highest level of the hierarchy, process objectives, beneficiary involvement and significant notes containing information helpful to the reader's understanding of the process are also included. The process segment ends with a table of regional

variances collected during the work sessions. Information contained in the tables includes:

1. Areas in the region that are affected by the variance; for example, an agency, a Tribe or region-wide
2. IDEF category to which the variance applies
3. Variance description
4. Reason that the variance occurs; for example, a system constraint, a procedure or a law
5. Positive or negative impact of the variance on the process baseline
6. Degree of impact the variance has on the process
7. Degree of difficulty to change the variance

Additional information about the processes and the regional variances is available on the CD accompanying this report. There are also a significant number of acronyms included in the chapter. Their definitions can be found in the **Appendix A**.

4.1.2 Approach

A draft baseline of the As-Is Trust Business Model was developed as part of the Baseline Model Workshop conducted in Albuquerque, New Mexico in April 2002. That baseline, further refined by on-site interviews in Aberdeen SD and Billings Mt., was published as Baseline Version 1 in June 2002. Additional enhancements to the baseline from BIA Regions, OST/OTFM, other DOI agencies and Tribal variations were captured during ten subsequent Regional work sessions.

For each regional work session, the process documented and the conclusions reached by the As-Is team were based on information provided by the participants who attended the sessions. During the work sessions, the baseline model for each core trust business model was reviewed, analyzed and commented on by the participating DOI and Tribal staff responsible for performing the trust function. All variations from the As-Is baseline models were recorded and the reason for the variance was detailed. As the work sessions were completed, and understanding of the process evolved, some of the process steps originally captured as Regional variances were changed to baseline enhancements and vice versa. After the documentation was completed, the enhancements and variations to the baseline model were made available to the Tribal experts and work session participants for review, validation and comment.

Figure 4.1-2 depicts the sequence of work sessions conducted and the evolution of the As-Is baseline and its regional variances.
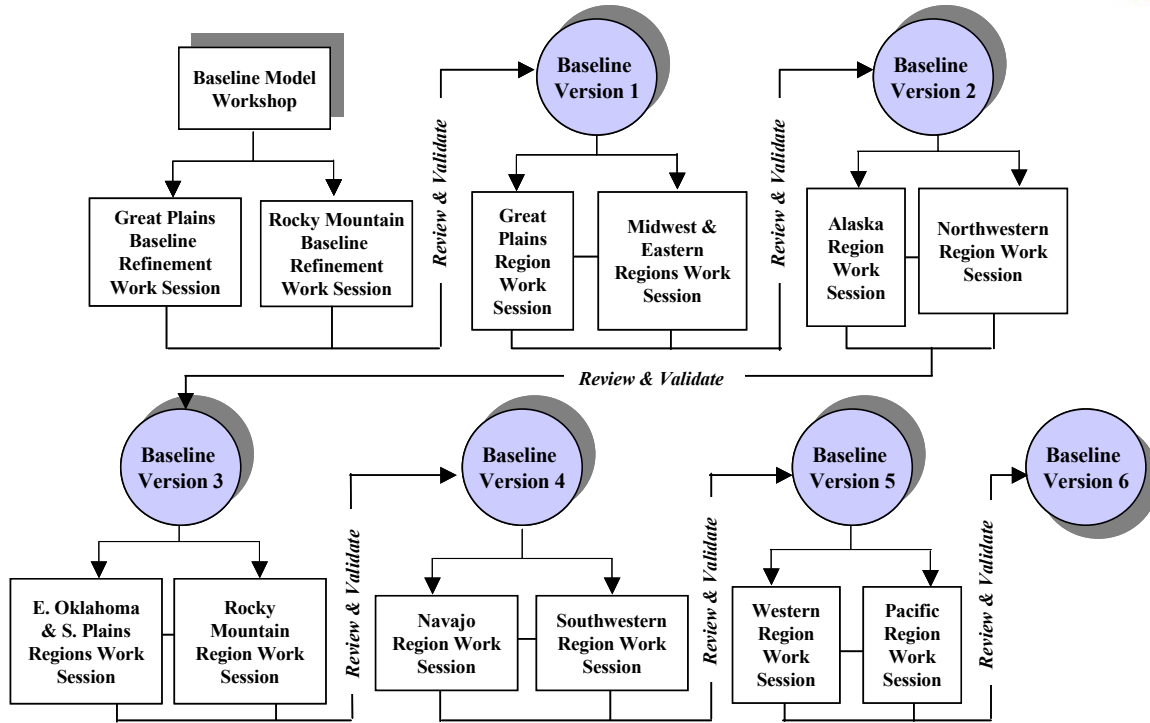
Baseline Model Workshop

Baseline Version 1

Baseline Version 2

Great Plains Baseline Refinement Work Session

Rocky Mountain Baseline Refinement Work Session

Review & Validate

Great Plains Region Work Session

Midwest & Eastern Regions Work Session

Review & Validate

Alaska Region Work Session

Northwestern Region Work Session

Review & Validate

Baseline Version 3

Baseline Version 4

Baseline Version 5

Baseline Version 6

Review & Validate

E. Oklahoma & S. Plains Regions Work Session

Rocky Mountain Region Work Session

Navajo Region Work Session

Southwestern Region Work Session

Review & Validate

Western Region Work Session

Pacific Region Work Session

Review & Validate

Figure 4.1-2 As-Is Baseline Versions

4.1.3 Explanation of Terms

The detailed functional steps or activities that aggregate to define a Trust process are explained in this chapter by a written description and an IDEF 0 model which graphically depicts the activity by its inputs, outputs, controls, events, obligations and mechanisms. **Figure 4.1-3** below defines the terms and the format of an IDEF 0 model.

Event	An occurrence external to the process that causes the activity to begin.
Input	Information or material that is used and/or transformed by an activity.
Output	Information or material that is produced by an activity.
Obligation	A legal and fiduciary requirement that impact the activity.
Control	A regulator, such as a policy of procedure, that ensures the activity complies with obligations.
Mechanism	An automated or paper-based system that supports operation of the activity.

Obligation   Control
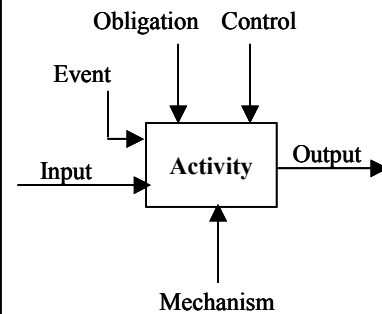
Event

Input   **Activity**   Output

Mechanism

Figure 4.1-3 IDEF (0) Terminology and Format

4.2 Overview of the Indian Trust Business Model

The As-Is Trust Model is complex and complicated. The eight business processes have significant inter-relationships and require coordination as the following diagram illustrates.   The processes also flow across organizational boundaries, which adds more complexity and possible conflict that can slow down the delivery of services to the beneficiaries. See **Figure 4.2-1 As-Is Trust Business Model Process Inter-Relationship** on the following page.
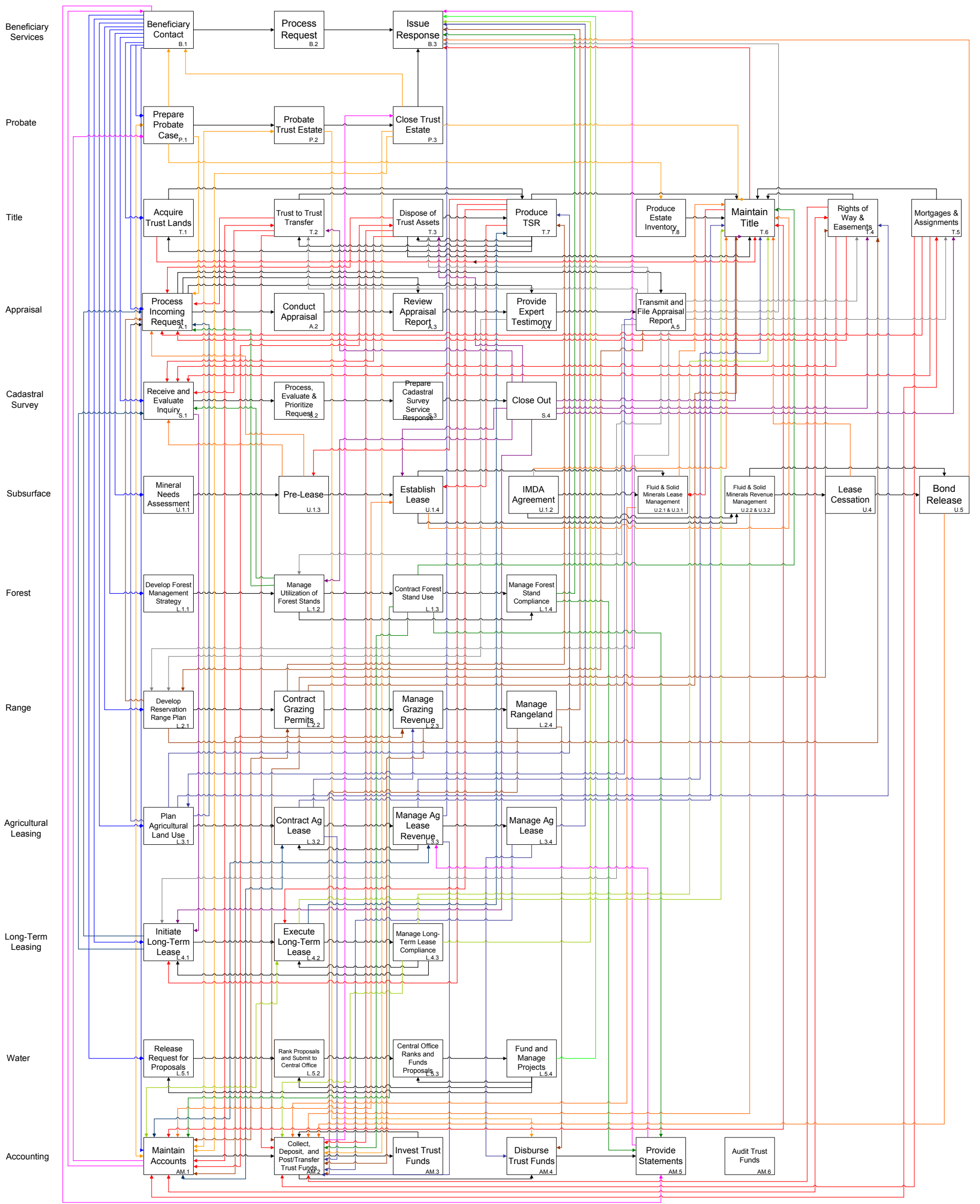
High-Level Process Inter-Relationships