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INDIAN AFFAIRS DIRECTIVES TRANSMITTAL SHEET

(Modified DI-416)

DOCUMENT IDENTIFICATION NUMBER NPM-TRUS-21	SUBJECT Monitoring and Clearing of	RELEASE NUMBER 08-12
FOR FURTHER INFORMATION	Invoices and Trust Fund Payments	DATE
Trust Services	From Trust Funds Receivables	FEB 1 9 2008

EXPLANATION OF MATERIAL TRANSMITTED:

This memorandum prescribes the policy for the handling of invoices and trust fund payments in the Trust Funds Receivables (TFR) system

The policy and attached procedures are necessary to ensure that the monitoring and clearing of invoices and payments from TFR are processed accurately and timely.

If you have any questions regarding this policy, contact BIA Trust Reform Liaisons, T_____ Parker Sando at (505) 816-1446 or Steve Graham at (505) 816-1209.

le Jerry Gidner

AFTy Director, Bureau of Indian Affairs

FILING INSTRUCTIONS:

Remove: None

Insert: NPM-TRUS-21



BUREAU OF INDIAN AFFAIRS Washington, D.C. 20240



IN REPLY REFER TO:

National Policy Memorandum

Bureau of Indian Affairs Director

Number: NPM-TRUS-21

Effective: February 19, 2008 Expires: February 19, 2009

Title: Monitoring and Clearing of Invoices and Trust Fund Payments From Trust Funds Receivables

1. Purpose

This memorandum prescribes the policy for the handling of invoices and trust fund payments in the Trust Funds Receivables (TFR) system.

2. Scope

This policy is applicable to Indian trust programs and offices and is necessary to ensure that the monitoring and clearing of invoices and payments from TFR are processed accurately and timely. The attached procedures are necessary to implement the policy.

3. Policy

It is the policy of the Bureau of Indian Affairs (BIA) to match invoices to trust fund payments made by check within two (2) business days of deposit at the centralized commercial lockbox or within two (2) business days of notification of receipt of electronic payments including InterGovernmental Payment and Collections (IPACs). There are three (3) exceptions when funds may not be distributed to the beneficiaries and may instead be posted to a Special Deposit Account (SDA) in the Trust Funds Accounting System. The three exceptions are: Survey, Litigation/Appeal, and Policy/Solicitor Opinion. Supporting documentation must be submitted in order to post to an SDA for one of these three exceptions.

In order to ensure BIA meets the five (5) day requirement set forth in 25 CFR 162.618, it is also the policy of BIA to ensure that appropriate corrective and timely steps are taken to initiate lease compliance action per the terms of the contract within two (2) business days of an invoice becoming past due.

BIA has primary responsibility to ensure TFR invoices are valid and that trust fund payments are timely matched with invoices for distribution to beneficiaries. BIA and the Office of the Special Trustee for American Indians (OST) shall comply with the corresponding procedures for implementing this policy. Further, BIA Lockbox Liaisons shall ensure issues preventing the timely processing of trust payments are promptly brought to the attention of the appropriate BIA Deputy Regional Director for Trust. BIA Deputy Regional Directors for Trust and the OST Regional Trust Administrators will coordinate for monthly review of invoices and payments outstanding reports, and will jointly develop and execute corrective measures that may be necessary to remove outstanding items from the TFR system.

This policy is effective immediately and remains in effect until amended, superseded or revoked.

4. Roles and Responsibilities

- A. <u>Director, Bureau of Indian Affairs (BIA)</u>. The BIA Director is responsible for the development of National Policy affecting Indian lands.
- **B.** <u>**Deputy Bureau Director, Field Operations, BIA.</u>** The BIA Deputy Bureau Director of Field Operations is responsible for overseeing the Regional Directors and dissemination of policy to them.</u>
- C. <u>Deputy Bureau Director, Trust Services, BIA.</u> The BIA Deputy Bureau Director of Trust Services is responsible for assisting in the dissemination of trust resource policy and information to the Regional Directors.
- **D.** <u>**Regional Directors, BIA.</u>** The BIA Regional Directors are responsible for carrying out policy as directed, and for overseeing the implementation of policy either directly or via Agency Superintendents.</u>

6. Approvals

//Signed//	February 19, 2008
Jerry Gidner	Date
Director, Bureau of Indian Affairs	

Attachment 1: Procedure for Monitoring and Clearing Invoices from Trust Funds Receivables

Attachment 2: Procedure for Monitoring and Clearing Trust Fund Payments from Trust Funds Receivables

Attachment 1Procedure for Monitoring and Clearing Invoices from
Trust Funds Receivables

1. Purpose

This procedure implements the invoice management requirements in the National Policy Memorandum titled *Monitoring and Clearing of Invoices and Trust Fund Payments from Trust Funds Receivables*. The procedure explains the steps for voiding improper invoices, marking invoices paid and working actual past due or deficient amounts due.

Note: This procedure will be amended when the TAAMS Accounts Receivable module is implemented.

2. Scope

This procedure pertains to the Bureau of Indian Affairs (BIA) and the Office of the Special Trustee for American Indians (OST) staffs that administer trust contracts, accept payments required by the contracts, and distribute money received to the appropriate IIM or Tribal accounts. It is a BIA lease compliance responsibility to identify invoices that should be voided or marked paid. The primary points of contact (POC) for Trust Funds Receivable (TFR) invoice management are the BIA Lockbox Liaisons or an alternate selected for each region in case a Lockbox Liaison is unavailable. Requests to void or mark a TFR invoice paid will only be accepted by OST Branch of Income Collections (BIC) if received from a POC or his/her alternate.

3. Process

BIA Agency staff will:

<u>Step 1</u>: Review TFR outstanding invoices.

• Access the TFR "Query System (Lookup Transactions)" screen.

Trust Funds Receivable	e (Lockbox)
Current User: Cynthia Slating	December 04, 2
	Message: Invoices hav
Automated Funds Receivable Processes (Converted Agencies)	Funds Receivable Manual Process
Outstanding Checks Report and Processes Query System (Lookup Encumbrances, Invoices, Checks) (Automatic TFR Checks Undated as of 03-Dec-07 01:21 PM)	• <u>Query Manual System (Lookup Checks)</u> (NO Manual Checks For 03-Dec-07)
Reports	Query Did Not Process (DNP) Items
<u>Check Deposit Report (Manual/Automated)</u> <u>Converted Agencies Metrics Reports</u> <u>Converted Agencies Metrics Reports End-of-Fiscal-Year 2007</u> <u>ZY Batch and Adjustments Report</u>	Query Returned Checks System (Lookup Checks) (Returned Checks Updated as of 03-Dec-07 01:21 PM) Check Deposit Report (Returned Checks)

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• In the "Search Invoices" section, click on advanced search.

Return to Menu	TF Converted A	FR LOCKBOX gencies Lockbox Query For	m
Encumbrance ID		Contractor Name	
Document ID		Invoice Generated ?	🔿 Yes, 🔿 No
	_	Search Encumbrances	+ Click for Advanced Search
Invoice Num		Contractor Name	
Date Invoiced	equal to 💌		
	(Search Invoices	+ Click for Advanced Search
Check Record Number		Check Name	
Deposit Date:	equal to 💌		
	<u>s</u>	earch LockBox Checks	+Click for Advanced Search

- Select a specific agency and change "Display Only Outstanding Invoices" to "Yes".
- Click "Search Invoices".
 - By changing "Display Only...." to "Yes", the date due will default to yesterday's date and the search results will only display TFR delinquent payments.

Encumbrance D Contractor Name Document D Invoice Generated ? Yes, No Search Encumbrances + Click for Advanced Search Invoice Num Contractor Name Encumbrance Document D D Region V Display Only Outstanding Invoices Iso Yes, No Agency CROW CREEK AGENCY Date equal to P Display Archived Invoices Also Yes, No Date Due: after P Date Due: before P	Return to Menu Convertee	TFR LOCKBOX d Agencies Lockbox Query Form
Search Encumbrances + Click for Advanced Search Invoice Num Contractor Name Encumbrance Document ID D Display Only Outstanding Invoices ⊙ Yes, ○ No Agency CROW CREEK AGENCY Date equal to ♥ Date Due: after Invoiced Date Due: before Image: Search Invoices	Encumbrance ID Document ID	Contractor Name Invoice Generated ? Yes, O No
Invoice Num Contractor Name Encumbrance Document ID ID Display Only Outstanding Invoices Iso Region Display Only Outstanding Invoices Iso Agency CROW CREEK AGENCY Date equal to Invoiced Display Archived Invoices Also Date Due: after Image: Search Invoices Search Invoices	0	Search Encumbrances + Click for Advanced Search
Encumbrance Document ID Document ID Document ID Display Only Outstanding Invoices • Yes, No Agency CROW CREEK AGENCY Date equal to Invoiced Date Due: after Date Due: before Search Invoices	Invoice Num	Contractor Name
Region Image: CROW CREEK AGENCY Date equal to Date Due: equal to Invoiced Date Due: Date Due: after Search Invoices Search Invoices	Encumbrance	Document ID
Agency CROW CREEK AGENCY Date equal to Date Display Archived Invoices Also O Yes, ③ No Invoiced Date Due: after Image: Search Invoices	Region	Display Only Outstanding Invoices 💿 Yes, 🔿 No
Date Due: after V Date Due: before V H	Agency CROW CREEK AGENCY Date equal to Invoiced	Display Archived Invoices Also OYes, ONo
Search Invoices	Date Due: after 👻	Date Due: before 💌
		Search Invoices

• TFR displays the invoice detail. Click "Invoice" to view an image of the invoice.

Return to Menu TFR LOCKBOX TFR Invoice Query Results New									
CROW CREEK AGENCY									
Invoice Contractor Name Num	<u>Encumbrance ID</u>	<u>Document ID</u>	Invoice Amt <u>Due Date</u> Check Amt Deposit Date	Printed?	Images				
1 56371 DAN HALL	000148700035	AA143421002410611 AU	1,562.50 01 Nov 2007		<u>Invoice</u>				
2 56380 TIGH COWAN	<u>000171000031</u>	AA143421001130611 AU	8,834.10 01 Nov 2007		<u>Invoice</u>				
3 56389 ORIN VOICE	000172100072	AA143421003450611 AU	690.00 01 Nov 2007		<u>Invoice</u>				
4 56429 ORIN VOICE	000209100012	AA143421003630611 AU	87.50 01 Nov 2007		<u>Invoice</u>				
5 56432 DON MCGHEE	000214000002	AA143421002180611 AU	1,596.40 01 Nov 2007		<u>Invoice</u>				
6 56823 CROW CREEK SIOUX TRIBE	000471500040	AA143421002460308 AU	209.01 01 Nov 2007		<u>Invoice</u>				
7 56825 CROW CREEK SIOUX TRIBE	000471500044	AA143421004150510 AU	198.85 01 Nov 2007		Invoice				
8 65068 CROW CREEK SIOUX TRIBE	<u>000015701199</u>	AA143420000210712 GP	2,697.30 01 Nov 2007	Yes	<u>Invoice</u>				
9 68123 CLAYTON KNIPPLING	000004237130	AA143421004470712 AU	2,096.00 01 Nov 2007	Yes	<u>Invoice</u>				
10 68182 DON BINDER	000020500605	AA143421002840712 AU	2,440.00 01 Nov 2007	No	Invoice				
11 68206 LESTER THOMPSON, SR.	<u>000147800081</u>	AA143421004090611 AU	462.00 01 Nov 2007	No	Invoice				
12 68209 LESTER THOMPSON, SR.	000209100011	AA143421000440611 AU	157.50 01 Nov 2007	No	<u>Invoice</u>				
13 68856 DAVID OGLE	<u>000008400939</u>	AA143421002570712 AU	1,750.00 01 Nov 2007	No	<u>Invoice</u>				
					>				

Note: 100% direct pay invoices can be identified in TFR by noting \$0.00 in the "Invoice Amount" column.

Return to TFR LOCKBOX New S Menu TFR Invoice Query Results New S								
CONCHO AGENCY								
Invoice Contractor Name Num	Encumbrance ID Document ID	Invoice <u>Due Date</u> <u>Printed?</u> Images <u>Amt</u> Deposit Date Check Amt						
26 71178 DONALD VOGT	000008600353 BB058010000013931 AU	850.00 01 Jan 2008 Yes Invoice						
28 71180 DON LAKE	000008600365 BB058010000013947 AU	0.00 01 Jan 2008 Yes <u>Invoice</u> 260.00 01 Jan 2008 Yes Invoice						
30 71192 DAN YOST	000010400399 BB058010000013968 AU	1,200.00 01 Jan 2008 Yes Invoice						

After the TFR invoice is generated for a payment term in TAAMS that is 100% direct pay, TAAMS currently reflects the invoice status as "paid" rather than as "billed". Therefore, as an interim procedure in effect until the implementation of the TAAMS Accounts Receivable module is complete, all 100% direct pay invoices in TFR will be marked "paid" by BIC or OST's Information Technology Office. These invoices should not display as outstanding past the due date. If a \$0.00 invoice is included in the outstanding list, contact a Lockbox Liaison.





Identify outstanding invoices that either need to be marked "void" or "paid" in TFR.

- Before the invoice can be changed in TFR, ensure the invoice has been voided or marked paid in TAAMS.
- Review all invoices on the outstanding report within two (2) business days of an invoice appearing on the outstanding report.
 - To begin review, select one invoice at a time from the TFR Invoice Query Results to research.
 - Click on Contractor Name column header to sort invoices by contractor name.

Return to TFR LOCKBOX Menu TFR Invoice Query Results					<u>New Search</u>	
CROW CREEK AGENCY Invoice Contractor Name	Encumbrance ID	Document ID	Invoice Amt	<u>Due Date</u> Deposit Date	Printed?	Images
1 56371 DAN HALL	000148700035	AA143421002410611 AU	1,562.50	01 Nov 2007		<u>Invoice</u>
2 56380 TIGH COWAN	000171000031	AA143421001130611 AU	8,834.10	01 Nov 2007		<u>Invoice</u>
3 56389 ORIN VOICE	000172100072	AA143421003450611 AU	690.00	01 Nov 2007		<u>Invoice</u>
4 56429 ORIN VOICE	000209100012	AA143421003630611 AU	87.50	01 Nov 2007		<u>Invoice</u>
5 56432 DON MCGHEE	000214000002	AA143421002180611 AU	1,596.40	01 Nov 2007		<u>Invoice</u>
6 56823 CROW CREEK SIOUX TRIBE	000471500040	AA143421002460308 AU	209.01	01 Nov 2007		<u>Invoice</u>
7 56825 CROW CREEK SIOUX TRIBE	000471500044	AA143421004150510 AU	198.85	01 Nov 2007		<u>Invoice</u>
8 65068 CROW CREEK SIOUX TRIBE	000015701199	AA143420000210712 GP	2,697.30	01 Nov 2007	Yes	<u>Invoice</u>
9 68123 CLAYTON KNIPPLING	000004237130	AA143421004470712 AU	2,096.00	01 Nov 2007	Yes	<u>Invoice</u>
10 68182 DON BINDER	000020500605	AA143421002840712 AU	2,440.00	01 Nov 2007	No	<u>Invoice</u>
11 68206 LESTER THOMPSON, SR.	000147800081	AA143421004090611 AU	462.00	01 Nov 2007	No	Invoice
12 68209 LESTER THOMPSON, SR.	000209100011	AA143421000440611 AU	157.50	01 Nov 2007	No	Invoice
13 68856 DAVID OGLE	000008400939	AA143421002570712 AU	1,750.00	01 Nov 2007	No	Invoice

- Query outstanding checks to discover if the invoice was actually paid but not yet matched to a payment received in the lockbox.
 - Click on the Outstanding Checks Report and Processes on the TFR main menu.

Trust Funds Receivable	e (Lockbox)								
Jurrent User: Cynthia Slating December 04, 2									
	Message: Invoices hav								
Automated Funds Receivable Processes (Converted Agencies)	Funds Receivable Manual Process								
Lockbox Processing Outstanding Checks Report and Processes Query System (Lookup Encuntrances, Invoices, Checks) (Automatic TFR Checks Updated as of 03-Dec-07 01:21 PM)	• <u>Query Manual System (Lookup Checks)</u> (NO Manual Checks For 03-Dec-07)								
Reports	Query Did Not Process (DNP) Items								
 <u>Check Deposit Report (Manual/Automated)</u> <u>Converted Agencies Metrics Reports</u> <u>Converted Agencies Metrics Reports End-of-Fiscal-Year 2007</u> <u>ZY Batch and Adjustments Report</u> 	 <u>Query Returned Checks System (Lookup Checks)</u> (Returned Checks Updated as of 03-Dec-07 01:21 PM) <u>Check Deposit Report (Returned Checks)</u> 								

• Enter the contractor name from the invoice to determine if the invoice was paid.

Outstanding Checks Report/Processes							
Region:	ALL Regions	Status:					
Agency:	ALL Agencies	*					
Check Record Number:		Contractor Name:	Lloyd Edge				
CT NUM:		Batch Number:					
Deposit Date:	equal to 💌	🔲 Deposit Date:	before 💌 🔳				
Return to Menu Run Report							

• Click "Run Report".

Return to Ne Menu TFR LOCKBOX							
	Outs	tanding Checks Report/Pr	ocess				
ANADARKO A	GENCY						
Check Rec	Check Deposit Date	Contractor Name	<u>CT Num</u>	<u>Check</u> <u>Amt</u>	<u>Status</u>	Images	
1 Action 65390	04 Dec 2007	LLOYD EDGE	CT12B339450	180.28	New	<u>Check</u>	

• If a check record appears that matches the contractor name, click the "Action" button.

<u>Ret</u> Me	<u>turn to</u> enu		TFR LOCKBOX			Þ	lew Searc	
	Outstanding Checks Report/Process							
	ANADARKO AGENCY							
	Check Rec	Check Deposit Date	Contractor Name	<u>CT Num</u>	<u>Check</u> <u>Amt</u>	<u>Status</u>	Images	
(1 Action 61390	04 Dec 2007	LLOYD EDGE	CT12B339450	180.28 New		<u>Check</u>	

• Review the list of invoices displayed to discover if the outstanding invoice being researched is included. If a match is not found from the invoice list displayed, click the "Search Invoices" button for more choices.

Select Invoices to Match - Microsoft Internet Explorer									×
	Check Number/Dep	osit Date	64677 -	04 Dec 2007	View Hist	<u>ory</u> Status -1	New		
	Check Name			Three Irons (CRO)	WAGENCY)				
	Amount Pai	d	50.00						
	CT		PC12T	722458					
	OST Batch								
	Check Amount Left To Allocate								
	Comments								
	12/04/2007 3:26 PM MDT Obligating Doo TenBear, PH:		c #50509 406-638	96079, Cont #1178 -2321	3390611, POC: 3	Shana F.	BIVENS		
	12/04/2007 3:01 PM M	IDT Obligating Do TenBear, PH:	c #50509 406-638	96079, Cont #1178 -2321	3390611, POC: :	Shana F.	BIVENS		
Invoice	Contractor Name	Agency		Lease	Invoiced Amount	TFAS Amt Due	Due Date		
<u>Num</u> 212.49	DACEDANDALL	CONCUO A CENCY		9010000012052 A II	400.00	×00.00	01/01/2009	Turnetine	
50017	CI ADENCE TUDEE IDONS	CONCHO AGENCY		2021120020611 SC	51.12	50.04	11/01/2008	Invoice	
2/072	CLARENCE THREE IRONS	CROW AGENCY		2021180930011.3C	021.00	00.24	11/01/2006	Invoice	
62932	HAZEL THREE STARS	FORT PECK AGENC	Y	2062005288812 HS	24.00	24.00	11/15/2007	Invoice	
53562	JOSELYN THREE IRONS	CROW AGENCY	•	2021177380510 ATI	435.90	435.90	10/01/2007	Invoice	
58986	JOSELYN THREE IRONS	CROW AGENCY		2021177370510 AU	960.00	960.00	11/01/2007	Invoice	
58319	JOSELYN THREE IRONS	CROW AGENCY		2021160540308 AU	366.00	366.00	11/01/2007	Invoice	
43245	RANDAL COLLMER	ANADARKO AGEN	СҮ	8020504100708 AU	0.00	0.00	07/01/2007	Invoice	-
Add C	Add Comment					$\mathbf{)}$		Clo	se

• If a match for the open invoice is found, click the "Add Comment" button and enter the invoice number in the check comment field.

	Check Number/Dep	osit Date	64677 - 04 Dec 2007	View Hist	<u>ory</u> Status -]	New	
	Check Nam	ie :	Randal Three Irons (CROW AGENCY)				
	Amount Pai	d	50.00				
	CT		PC12T722458				
	OST Batch	L .					
	Check Amount Left 1	o Allocate	50.00				
	Commonts		50.00				
Invoice Num	<u>Contractor Name</u>	Agency	Lesse	Invoiced Amount	TFAS Amt Due	Due Date	
Invoice Num 71348	Contractor Name BASE RANDALL	Agency CONCHO AGENCY	Lesse 801000013952 AU	Invoiced Amount 600.00	117AS Amt Due 600.00	Due Date 01/01/2008	Im
Invoice Num 71348 50917	Contractor Name BASE RANDALL CLARENCE THREE IRONS	Agency CONCHO AGENCY CROW AGENCY	Lasee 8010000013952 AU 2021180930611 SC	Invoiced Amount 600.00 51.13	TFAS Amt Due 600.00 50.24	Due Date 01/01/2008 11/01/2006	In
Invoice Num 71348 50917 34973	Contractor Name BASE RANDALL CLARENCE THREE IRONS CLARENCE THREE IRONS	Agency CONCHO AGENCY CROW AGENCY CROW AGENCY	20118993611 SU	Invoiced Amount 600.00 51.13 921.90	IFAS Amt Due 600 00 50 24 921 90	Due Date 01/01/2008 11/01/2006 11/01/2006	
Invoice Num 71348 50917 34973 62932	Contractor Name BASE RANDALL CLARENCE THREE IRONS CLARENCE THREE IRONS HAZEL THREE STARS	Agency Conced Agency Crow Agency Fort Peck Agency Fort Peck Agency	Lease 8010000139524 AU 2021180930611 SC 2021180930611 SC 202120930611 AU Y 206200528812 HS	Invoiced Amount 600.00 51.13 921.90 24.00	TFAS Amt Due 600.00 50.24 921.90 24.00	Due Date 01/01/2008 11/01/2006 11/01/2006 11/15/2007	Inv Inv Inv
Invoice Num 71348 50917 34973 62932 53562	Contractor Name BASE RANDALL CLARENCE THREE IRONS CLARENCE THREE IRONS JOSEL/IN THREE IRONS	Agoncy CONCHO AGENICY CROW AGENICY CROW AGENICY CROW AGENICY	Elesse 801000013952 AU 2021180930611 SU 2021180930611 AU Y 2066020812 HS 2021179380510 AU	Invoiced Amount 600.00 51.13 921.90 24.00 435.90	TFAS Amt Due 600 00 50 24 921 90 2400 435 90	Due Date 01/01/2008 11/01/2006 11/01/2006 11/15/2007 10/01/2007	Inv Inv Inv
Invoice Num 71348 50917 34973 62932 53562 53562 58986	Contractor Name BASE RANDALL CLARENCE THREE IRONS CLARENCE THREE IRONS INAZEL THREE IRONS JOSELVT THREE IRONS	Agency CONCHO AGENCY CROW AGENCY CROW AGENCY FORT FECK AGENCY CROW AGENCY CROW AGENCY	Lease 801000013952 AU 2021180930611 SC 2021180930611 SC 2021180930611 SC 202117320510 AU 2021177330510 AU	Invoiced Amount 600.00 51.13 921.90 24.00 435.90 960.00	IFAS Amt Due 600.00 50.24 921.90 2400 435.90 960.00	Due Date 01/01/2008 11/01/2006 11/15/2007 10/01/2007 11/01/2007	Inv Inv Inv
Invoice Num 71348 50917 34973 62932 53562 58986 58386 58319	Contractor Name BASE RANDALL CLARENCE THREE IRONS LCARENCE THREE IRONS JOSELYN THREE IRONS JOSELYN THREE IRONS JOSELYN THREE IRONS	Agency CONCHO AGENCY CROW AGENCY CROW AGENCY FORT PECK AGENCY CROW AGENCY CROW AGENCY	Lease S01000013952 A U 202180930611 SC 202180930611 AU Y 2020177330510 AU 2021177330510 AU 2021177330510 AU 2021177330510 AU	Invoiced Amount 600.00 51.13 921.90 24.00 435.90 960.00 366.00	TFAS Annt Due 600.00 50.24 921.90 2400 435.90 96000 366.00	Due Date 01/01/2008 11/01/2006 11/01/2006 11/15/2007 10/01/2007 11/01/2007	Inv Inv Inv Inv

• Indicate the invoice number to be matched to the payment. When BIC completes the match, the invoice will no longer display as outstanding.

TFR LOCKBOX						
	Comments on Check					
RecNum:	64677	By:	CSlating			
Comments:						
Insert Comment Close Window						

- If a payment match for the outstanding invoice was not found in TFR, access the Trust Funds Accounting System (TFAS) to see if the invoice was manually paid in such a way that bypassed the TFR match process. <u>This should occur very infrequently</u>. See OST Field Operations staff for assistance.
 - Locate the contractor identifier (ID) (xxxCxxxxx format). The number can be found on the invoice coupon by accessing the TFR invoice image.



- Review a sample of owner accounts by searching for payment by the contractor ID.
- If no match for the outstanding invoice was found by researching TFR or TFAS, access TAAMS to see if the invoice was voided. See the TAAMS User's Guide for instruction.
 - Invoices must be voided in TAAMS prior to requesting them voided in TFR.
- If appropriate, prepare an email requesting a TFR invoice be voided or marked paid based on the research.
 - The email subject line should read: "Void Invoice" or "Mark Paid".
 - Multiple invoices may be submitted on an email; however, do not combine in one email requests to void invoices with requests to mark invoices paid.
 - Highlight and copy the appropriate TFR screen shot that applies to the invoice being voided or marked paid from the outstanding invoices search.

Return to Menu	TFR I TFR Invo	LOCKBOX ice Query Results			<u>New S</u>	Search
CROW CREEK AGENCY						
Invoice Contractor Name	Encumbrance ID	<u>Document ID</u>	Invoice Amt	Due Date	Printed?	Images
<u>11444</u>			OHCON THE	Deposit Date		
1 56371 DAN HALL	000148700035	AA143421002410611 AU	1,562.50	01 Nov 2007		Invoice
2.56300 TICH COWAR	000171000031	AA143421001130611 AU	8,834.10	01 11-7 2007		Introice
3 56389 ORIN VOICE	000172100072	AA143421003450611 AU	690.00	01 Nov 2007		<u>Invoice</u>
4 56429 ORIN VOICE	000209100012	AA143421003630611 AU	87.50	01 Nov 2007		<u>Invoice</u>
5 56432 DON MCGHEE	000214000002	AA143421002180611 AU	1,596.40	01 Nov 2007		<u>Invoice</u>

- Paste the copy in the body of the email request.
- Forward the request to a Lockbox Liaison for review.

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- If the Lockbox Liaison concurs with the request by the agency to void or mark an invoice paid, the Lockbox Liaison will forward the request via email to BIC for processing.
 - The email states that the Lockbox Liaison concurs with the request.
 - The original email request submitted by the agency is attached.
 - The email will be addressed to the original BIA requestor and the BIC staff at OST_Inc_Collections_Team.

Sample Lockbox Liaison Email to BIC

۲۳۳۳ ۲۰ ۱	Ğ.	Dori Duran/PHOENIX/BIA/D0 11/16/2007 03:17 PM	DI CC	Loren B Jim/OST/OS/ Cox/OST/OS/DOI@D Clayton Seoutewa/AL Davis/ALBUQUERQU Fredericks/OST/OS/D	/DOI@DOI, Danieł OI, Leslie Estes/OST/OS/DO .BUQUERQUE/BIA/DOI@BI/ JE/BIA/DOI@BIA, Peter DOI@DOI	DI@DOI A, Steve
			Subject	Vold Invoice		
	Loren/Da	niel/Les -				
	Per the ag please rep	gencies request, plo oly back to all listed	ease void the I on this e-ma	below listed invoi il. Thank you.	ices, once void is com	pleted,
	O.r	🕽 Dori Allen Dui	an			
	$\langle \odot \rangle$	Lock Box Liais	011			
	YC	Southwest Reg	ion			
	1	505 816-1494				
	. Veren	505 816-1319 9	^r ax			
	Forward	ed by Dori Duran/PHOEN	IX/BIA/DOI on 11	16/2007 03:14 PM	-	
	m	Davis/ALBUQUERQUE/ DOI 11/16/2007 03:13 PM	BIA/ To	Dori Duran/PHOENIX Fredericks/OST/OS/D Clayton Seoutewa/AL	/BIA/DOI@BIA, Peter OOI@DOI BUQUERQUE/BIA/DOI@BI/	A.
			Subject	Outstanding involces	for Zuni	
	Dori,					
	I spoke to	Rosetta Epaloose	today, She a	sked me to send	an E-mail to you,	
	Please vo	id the attached inv	oices:			
	1 5037 z 2 1	uni indian Ribe	0003339000 10	MM707217985 BS	1,637.0 21 Sep 0 2007	Invoic e
	3 555 CE 79 SC	ENTURYTEL OF TI DUTHWEST, INC.	HE <u>002</u> 042	20017 MM70721 275 9823 BS	505576 2,000 26 Oc .00 2007	t Invo ice
	Please re	ply to all the individ	luals address	ed on this e-mail.		
	Thanks					
	0		19			
	SIEVE					

• When BIC completes the actions requested, they will notify via email all individuals addressed on the submittal that the requested action is complete.

<u>Step 3:</u> Determine if a valid past due invoice was returned as undeliverable and provide the correct address to OST, if required.

• 25 CFR 162.247 states "...the tenant's obligation to make [rent] payments in a timely manner will not be excused if such bills or invoices are not delivered or received".

- Undeliverable invoices are returned to OST in Albuquerque. If a new address is affixed to the envelope by the post office, OST reprints and remails the invoice. If no forwarding address is provided, OST contacts the servicing BIA agency to research and provide the correct address.
- **Step 4:** Within five (5) business days of an outstanding invoice becoming past due, input penalty per the contract on the encumbrance record "other payment terms" screen in TAAMS. Penalties will only be assessed for agency pay recipients. (For direct pay recipients, see 25 CFR 162.248 (a))
 - Indicate "Distribute to Owners Yes" so that the information will upload to TFAS and TFR will generate an invoice. See the TAAMS User's Guide for further instruction.
 - When payment is received, the funds will automatically match and distribute to the appropriate TFAS accounts.
- *Step 5:* Within five (5) business days of an outstanding invoice becoming past due, mail a 10-Day Show Cause Notice to the past due contractor.
 - Include the penalty assessed from <u>Step 4</u> in the amount due on the notice.

Sample 10-Day Show Cause (Adapted from the BIA Leasing & Permitting Procedural Handbook)

UNITED STATES DEPARTMENT OF THE INTERIOR BUREAU OF INDIAN AFFAIRS

December 8, 20___

In Reply Refer to: Real Estate Services (406) 555-1234

CERTIFIED MAIL RECEIPT NUMBER 7000 1670 0000 4613

Mr. Brown 123 Ace Street Hometown, WY 12345

Dear Mr. Brown:

This is in reference to your lease on the following allotment:

Allotment No.	Contract No.	Rental Amount Due	Penalty Amount Due
0123-A	O-12335	\$1,000.00	\$100.00

In accordance with the Lease Contract and Code of Federal Regulations 162.251, you are hereby informed that you have ten (10) business days from your receipt of this letter to show cause as to why the above lease(s) should not be cancelled. No extensions of time will be granted.

NPM-TRUS-21 Release # 08-12

Be advised that penalties will be assessed for late payments in accordance with the terms of the lease contract(s). A copy of this letter is being forwarded to you by regular mail to insure that you have received it.

You may direct any questions concerning this correspondence to our Realty Estate Services Office at (406) 555-1234.

Sincerely,

Agency Superintendent

• See the appropriate BIA Handbook and relevant sections of 25 CFR for detailed contract compliance requirements.

Attachment 2 Procedure for Monitoring and Clearing Trust Fund Payments from Trust Funds Receivables

1. Purpose

This procedure implements the trust fund payments requirements in National Policy Memorandum NPM-TRUS-21, titled *Monitoring and Clearing of Invoices and Trust Fund Payments from Trust Funds Receivables*. This procedure explains the steps for resolving trust payments that did not automatically match an invoice in Trust Funds Receivable (TFR) or rejected when presented to the Trust Funds Accounting System (TFAS) for distribution to beneficiary accounts.

Note: This procedure will be amended when the Trust Asset and Accounting Management System (TAAMS) Accounts Receivable (AR) module is implemented.

2. Scope

This procedure pertains to the Bureau of Indian Affairs (BIA) personnel responsible to ensure payments distribute to the appropriate TFAS account(s) and to take corrective action to ensure payments that do not automatically match an invoice or automatically distribute to the appropriate Individual Indian Monies (IIM) and Tribal accounts are researched and resolved before the next posting cycle. Trust payments must post to an IIM or Tribal TFAS account within two (2) business days of deposit or notification of deposit by electronic means (e.g., IPAC, EFT, and ACH).

3. Process

<u>Step 1</u>: Review payments received and deposited by the Lockbox.

- Every day after the Check Deposit Report is available, access TFR to review the day's deposit.
 - The last date and time checks were updated in TFR scrolls in a message across the TFR main menu screen.
- Click on the Check Deposit Report.

Trust Funds Receivable (Lockbox)							
Current User: Cynthia Slating December 05, 2							
TST, Automatic TFR Checks Updated as of 04-Dec-07 05:07 PM , Ma	mual Checks Updated as of 04-Dec-07 05:07 PM , Returne						
Automated Funds Receivable Processes (Converted Agencies)	Funds Receivable Monuel Process						
Lockbox Processing Outstanding Checks Report and Processes Query System (Lookup Encumbrances, Invoices, Checks) (Automatic TFR Checks Updated as of 04-Dec-07 05/07 PM) 	Query Manual System (Lookup Checks) (Manual Checks Updated as of 04-Dec-07 05:07 PM)						
Reports	Query Did Not Process (DNP) Items						
Check Deposit Report (Manual/Automated) <u>Converted Agencies Metrics Reports</u> Converted Agencies Metrics Reports End-of-Fiscal-Year 2007 ZY Batch and Adjustments Report	Query Returned Checks System (Lookup Checks) (Returned Checks Updated as of 04-Dec-07 05:07 PM) Check Deposit Report (Returned Checks)						

- Select an agency from the drop down menu.
- Select either a deposit date "equal to" to review a specific day's deposit or deposits within a date range by selecting "after" from the drop down menu in the first "Deposit Date" field and "Before" in the second Deposit Date field.
 - A date can either be entered as mm/dd/yyyy or by clicking on the calendar and selecting a date.
- TFR defaults to show only non-posted checks. To see all checks received on a specific date or within a date range, click the "All Checks" button in Print Checks.
- Click "Run Report".

Check Deposit Report						
Agency	CONCHO AGENCY	~	Summary Report:	⊙Yes ⊙No		
TAAMS Area	*			Only non-Posted Checks		
SF215 Number			Print Checks:	O Only Posted Checks		
CT Number				All Checks		
Deposit Date:	equal to 👻		Deposit Date: befo	re 👻		

• Determine if payments for the agency were received by the Lockbox and deposited.

R	eturn to	TFR LOCKBO	ЭX			<u>New Report</u>
19	TFR Check Deposit Report ((Agency_Id = 'B05'))					<u>Print Report</u>
	Row <u>Rec</u> Num <u>Num Name</u>	Date S	<u>SF 215</u>	<u>CT NUM</u>	Posted Check Amount	non-Posted Check Amount
		Automated Trust Funds R	eceivabl	e		
	CONCHO AGENCY					
	CT05B351405					
	1 77 UNIT PETROLEUM COMPANY	Jul 11, 2005 🖇	SF351405	CT05B351405	222.57	
	(IT05T251 (22	CT05B351405 S	SUB TOTA	L	222.57	0.00
	C105B351433	A	07061400	CTTO 5TO 51 400	410.44	
	2 97 EUG RESOURCES 3 98 EOG RESOURCES	Aug 4, 2005 3	SF351433 SF351433	CT05B351433	418.44	
	5 70 100 1000 1000	1146 4, 2007 k	01001400	01000001400	460.00	

- If payments for the agency were received and <u>deposited today</u>, proceed to <u>Step 2</u>.
- If no payments for the agency were deposited today, but payments are still outstanding that were received before today or within a date range, either by hard copy check or by electronic means, proceed to <u>Step 3</u>.

Step 2: Review checks deposited today.

• Access the TFR main menu and click "Query System (Lookup Encumbrances, Invoices and Checks)".

Trust Funds Receivable (Lockbox)						
Current User: Cynthia Slating	December 05, 2					
IST , Automatic TFR Checks Updated as of 04-Dec-07 05:07 PM , Manual Checks Updated as of 04-Dec-07 05:07 PM , F						
Automated Funds Receivable Processes (Converted Agencies)	Funds Receivable Manual Process					
Outstanding Checks Report and Processes Query System (Lookup Encumbrances, Invoices, Checks) (Automatic TFR Checks Undated as of 04-Dec.07 05:07 PMD	<u>Query Manual System (Lookup Checks)</u> (Manual Checks Updated as of 04-Dec-07 05:07 PM)					
Reports	<u>Query Did Not Process (DNP) Items</u>					
 <u>Check Deposit Report (Manual/Automated)</u> <u>Converted Agencies Metrics Reports</u> <u>Converted Agencies Metrics Reports End-of-Fiscal-Year 2007</u> <u>ZY Batch and Adjustments Report</u> 	 <u>Query Returned Checks System (Lookup Checks)</u> (Returned Checks Updated as of 04-Dec-07 05:07 PM) <u>Check Deposit Report (Returned Checks)</u> 					

• In the Checks section of the query form (bottom one-third of the screen), click "Advanced Search".

Return to Menu	TFR LOCKBOX Converted Agencies Lockbox Query Forr	n
Encumbrance ID	Contractor Name	
Document ID	Invoice Generated ?	🔿 Yes, 🔿 No
	Search Encumbrances	+ Click for Advanced Search
Invoice Num	Contractor Name	
Date Invoiced	equal to 💙	
	Search Invoices	+ Click for Advanced Search
Check Record Number	Check Name	
Deposit Date:	equal to 💌	
	Search LockBox Checks	+ Click for Advanced Search

• Select an agency or region from the drop down menus and change the Deposit Date field to a specific date.

Return to Menu] Converted	FR LOCKBOX Agencies Lockbox Query Fo	əm
Encumbrance ID		Contractor Name	
Document ID		Invoice Generated ?	🔿 Yes, 🔿 No
	C	Search Encumbrances	+ Click for Advanced Search
Invoice Num		Contractor Name	
Date Invoiced	equal to 💌		
		Search Invoices	+ Click for Advanced Search
Check Record Number		Check Name	
CT NUM		Batch Number	
Region	~	Status	×
Agency	FORT PECK AGENCY	Lisplay Archived O	Yes, 💿 No
Deposit Date:	equal to 💌 12/5/2007	Deposit Date: befo	pre 🗸 🗖
		Search LockBox Checks	

• Click "Search LockBox Checks".

Re M	<u>eturn to</u> enu			TFR L TFR Chec	/OCKI k Query	BOX Results			<u>New Search</u>	
									Print Workshe	et:
	FORT PE	CK AGENCY	Y							
	<u>Rec</u> Num	<u>Check Deposit</u> <u>Date</u>	Contractor Name	<u>CT Num</u>	<u>Status</u>	Bat	<u>ch Number</u>	Check <u>Amt</u> Images		
	1 65824	05 Dec 2007	John Taflan	PC12T722470	New			95.63	Action History	
			Latest Comment - Obligatin 406.768.5112 - 12/05/2007	g Doc #505647011, (12:39 PM MDT (FE	Cont #10° '04 BIVENS) M	atched	atta Daved Dh.			
	2 65826	05 Dec 2007	John Taflan	PC12T722472	New			210.00	Action History	
			Latest Comment - Obligatin 406.768.5112 - 12/05/2007	g Doc #505647013, (12:40 PM MDT (FE	Cont #108 ⁻¹ 06 BIVENS)	0812, POC: Lyr	ette Boyd, Ph:			
	3 65825	05 Dec 2007	John Taflan	PC12T722471	New			150.00	Action History	
			Latest Comment - Obligatin 406.768.5112 - 12/05/2007	g Doc #505647012, (12:40 PM MDT (FE	Cont #108 BIVENS) ^M	fatched				
	4 65823	05 Dec 2007	John Taflan	PC12T722469	Ne <i>w</i>			464.63	Action History	
			Latest Comment - Obligatin 406.768.5112 - 12/05/2007	g Doc #505647010, (12:38 PM MDT (FE	Cont #108 703 BIVENS)	0812. POC: Lvn	tte Bovd. Ph:			
	5 65827	05 Dec 2007	Werner Farms	PC12T722473	New			215.10	Action History	
			Latest Comment - Obligatin 406.768.5112 - 12/05/2007	g Doc #505647024, (12:41 PM MDT (FE	Cont #108717 BIVENS)	0812, POC: Lyn	ette Boyd, Ph:			
						Sub Total		1,135.36		
			Processed 0.00		Open 1,13	5.36	Check Total	- 1,135.36		

- Identify the payments listed:
 - with no invoice associated;
 - where the payment was matched to the wrong invoice; and
 - where the amount paid does not match the amount invoiced.
- Proceed to <u>Step 4</u>.

Step 3: Review payments deposited before today or within a date range that have not yet been distributed to TFAS accounts; i.e. outstanding payments.

Note: It is the policy of BIA to distribute trust land use payments made by check within two (2) business days of deposit at the Lockbox or within two (2) business days of notification of receipt of electronic payment.

• Access the TFR main menu and click "Outstanding Checks Report and Processes".

Trust Funds Receivable	e (Lockbox)				
Current User: Cynthia Slating	December 05, 2				
IST , Automatic TFR Checks Updated as of 04-Dec-07 05:07 PM , Manual Checks Updated as of 04-Dec-07 05:07 PM , Returne					
Automated Funds Receivable Processes (Converted Agencies)	Funds Receivable Manual Process				
Lockbox Processing Outstanding Checks Report and Processes Query System (Lesling Ensuring System (Lesling Ensuring System) (Automatic TFR Checks Updated as of 04-Dec-07 05:07 PM)	Query Manual System (Lookup Checks) (Manual Checks Updated as of 04-Dec-07 05:07 PM)				
Reports	Query Did Not Process (DNP) Items				
 <u>Check Deposit Report (Manual/Automated)</u> <u>Converted Agencies Metrics Reports</u> <u>Converted Agencies Metrics Reports End-of-Fiscal-Year 2007</u> <u>ZY Batch and Adjustments Report</u> 	 <u>Query Returned Checks System (Lookup Checks)</u> (Returned Checks Updated as of 04-Dec-07 05:07 PM) <u>Check Deposit Report (Returned Checks)</u> 				

- Select a Region or Agency from the drop down menu and change the Deposit Date field to a specific date or date range.
- Although a specific check status (e.g., outstanding, rejected, re-submitted) can be selected from the drop down menu in the Status field, the system will default to display all outstanding checks.

Status	Description
New	Payment less than 2 days old
Outstanding	Payment more than 2 days old and no resolution activity indicated
Reject	Payment presented to TFAS that rejected
Matched	Payment that has been matched to a TFR invoice record
Submitted	Payment that has been matched to an invoice record and is ready to be submitted to TFAS
Re-submitted	Payment that rejected the first time it was presented to TFAS but has been re-submitted for posting
Manual Post	Payment to be manually posted to TFAS
Posted	Payment that has been posted to TFAS

• Status references are:

Οι	itstanding Check	s Report/	Processes
Region:	ALL Regions 💌	Status:	▼
Agency:	CHEYENNE RIVER AGENCY	~	
		-	
Check Record Number:		Contractor Name:	
CT NUM:		Batch Number:	
Deposit Date:	equal to 💌	Deposit Date:	before 💌 🔳
	Return to Menu	Run Report	

• Click "Run Report".

<u>leturn to</u> <u>Aenu</u>			TFR LOCKBOX				<u>New Sea</u>
		Outsta	anding Checks Report/Pi	ocess			
CHEY	ENNE RIVE	R AGENCY					
	<u>Check</u> <u>Rec</u>	Check Deposit Date	Contractor Name	CT Num	<u>Check</u> <u>Amt</u>	Ste	<u>atus</u> Images
1 Acti	on 65497	04 Dec 2007	DARREN DUCHENEAUX	CT12A339450	1,417.25	New	<u>Check</u>
	<u>Latest Co</u> 340S0811	<u>mment</u> - I gave the wrong Specia 16 12/05/2007 2:10 PM MD7	l Deposit Account. The right account is [(monal)				
2 Acti	on 65498	04 Dec 2007	FANNY BREWER	CT12A339450	1,355.83	New	<u>Check</u>
	Latest Co 1:23 PM	<u>mment</u> - Landsale. Paperwork sv MDT (rlebeau)	abmitted to Sonya Shaving, OFTM 12/05/2007				
3 Acti	on 65520	04 Dec 2007	MICHAEL LONGBRAKE	CT12A339450	444.00	New	<u>Check</u>
_	<u>Latest Co</u> FMHA L	<u>mment</u> - I did a TFR. Worksheet ands 12/05/2007 2:13 PM MI	on 12/05/2007 to deposit account 3405081117 - DT (monal)				
4 Acti	on 64718	04 Dec 2007	ROMEY GUNVILLE	CT12A339450	5,762.94	Reject	<u>Check</u>
	Luv - 664 Match 12	17, Due - 01 Dec 2007, ROME 2/04/2007)	Y GUNVILLE - Lease -3401002580308 (Auto		5,762.94	Reject	<u>Invoice</u>

• If the payment status is "reject", click the "Action" button to view the TFAS reject message (in red) and the OST reconciliation note for more information.

🕘 Select li	Select Invoices to Match - Microsoft Internet Explorer						
Ch	eck Number/Deposit Date	64718 - 04 Dec 2007	View History Status -Reject				
	Check Name	ROMEY GUNVILLE (CHEYEN	INE RIVER AGENCY)				
	Amount Paid	5,762.94					
	CT	CT12A339450	View Check				
	OST Batch						
	Matched to Invoice(s)						
Inv #	Name	Lease #	Inv Amt Status				
66417	ROMEY GUNVILLE	3401002580308 AU	5,762.94 Reject				
	Reason Rejected: CALCULATED TRACT ID OUT OF UNITY (12/05/2007) Reason Rejected: TRACT ID OUT OF UNITY (12/05/2007) Reconciliation Note: [12/5/2007]						
		Check Amount Left To Allocate	0.00				
	Comments						

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- Identify the payments listed:
 - with no invoice associated;
 - where the payment was matched to the wrong invoice;
 - where the amount paid does not match the amount invoiced; and
 - where the payment rejected when presented to the Trust Funds Accounting System (TFAS) for distribution.
- If the TFR Outstanding Checks Report/Processes is unavailable, access Stratavision to review the Encumbrance Rejected Items Reports, single and multi-tract (see Exhibit 1 Accessing Stratavision Reports).

Step 4: If required, research the payments not yet matched to an invoice.

- Trust Funds Receivable (Lockbox) Current User: Cynthia Slating December 04.2 Message: Invoices hav Automated Funds Receivable Processes Funds Receivable Manual Process (Converted Agencies) Lockbox Processing • Query Manual System (Lookup Checks) ding Checks Report and Pro (NO Manual Checks For 03-Dec-07) · Query System (Lookup Encumbrances, Invoices, Checks) (Automatic TFR Checks Updated as of 03-Dec-07 01:21 PM) • Query Did Not Process (DNP) Items Reports <u>Check Deposit Report (Manual/Automated)</u> Query Returned Checks System (Lookup Checks) <u>Converted Agencies Metrics Reports</u> (Returned Checks Updated as of 03-Dec-07 01:21 PM) Converted Agencies Metrics Reports End-of-Fiscal-Year 2007 Check Deposit Report (Returned Checks) • ZY Batch and Adjustments Report
- Access the TFR "Query System (Lookup Transactions)" screen.

• In the "Search Invoices" section, enter the payor name in the Contractor Name field from the payment record.

Return to Menu	TFR LOCKBOX
	Converted Agencies Lockbox Query Form
Encumbrance ID	Contractor Name
Document ID	Invoice Generated ? 🔿 Yes, 🔿 No
	Search Encumbrances + Click for Advanced Search
Invoice Num	Contractor Name Virgina Traversie
Date Invoiced	equal to 🔽
	Search Invoices + Click for Advanced Search

• Click "Search Invoices".

Return to Menu		<u>New Search</u>		
CHEVENNE RIVER AGENCY				
Invoice Contractor Name Num	Encumbrance ID	Document ID	Invoice Amt Due Date Check Amt Deposit Date	Printed? Images
1 66438 VIRGINA TRAVERSIE	<u>000477300031</u>	AA013401008220510 AU	0.00 01 Dec 2007	Yes <u>Invoice</u>
	Sub Total		0.00	

- If there is not an outstanding TFR invoice, research TFR encumbrance records.
 - Access the TFR "Query System (Lookup Transactions)" screen.

Trust Funds Receivable	e (Lockbox)
Current User: Cunthia Slating	December 04 2
ourient oset. Oynana blaung	20001104, 2
	Message: Invoices hav
Automated Funds Receivable Processes (Converted Agencies)	Funds Receivable Manual Process
Lockbox Processing Outstanding Checks Report and Processes Query System (Lookup Encumbrances, Invoices, Checks) (Nuomain TFR Checks Optimed as 0703-Dec 07 61 21 FM)	• <u>Query Manual System (Lookup Checks)</u> (NO Manual Checks For 03-Dec-07)
Reports	Query Did Not Process (DNP) Items
<u>Check Deposit Report (Manual/Automated)</u> <u>Converted Agencies Metrics Reports</u> <u>Converted Agencies Metrics Reports End-of-Fiscal-Year 2007</u> <u>ZY Batch and Adjustments Report</u>	 <u>Query Returned Checks System (Lookup Checks)</u> (Returned Checks Updated as of 03-Dec-07 01-21 PM) <u>Check Deposit Report (Returned Checks)</u>

• In the "Search Encumbrances" section, enter the payor name in the Contractor Name field from the payment record.

Return to Menu	TFR L(Converted Agencies	OCKBOX s Lockbox Query Fo	
Encumbrance ID Document ID		Contractor Name Invoice Generated ?	Brenda Lemmon
	Search E	incumbrances	+ Click for Advanced Search

• Click "Search Encumbrances".

<u>Ret</u> <u>Me</u>	<u>urn to</u> nu		TFR L	осквох	-			<u>New</u> Search
		TFR	Encumbr	ance Query R	esults			
* C	- indicates the HEYENNE R	contractor's address is NOT UVER AGENCY	'in the system.					
	Contractor D	<u>Contractor Name</u>	Encumbrance	<u>Document ID</u>	<u>Agency</u> <u>Amt</u>	<u>Direct</u> <u>Pay</u>	<u>Next Pay Date</u>	<u>Invoice</u> Generated?
1	340C000420	GILBERT MARHSALL AND BRENDA LEMMON	000006102334	AA013401005440712 AU	0.00	0.00	01 Dec 2007	<u>No</u>
2	340C000420	GILBERT MARHSALL AND BRENDA LEMMON	<u>000006102335</u>	AA013401008430712 AU	0.00	0.00	01 Dec 2007	<u>No</u>
			Sub Total		0.00			
*	- indicates the	contractor's address is NOT	Amount Total 'in the system.		0.00			

- If the encumbrance record indicates that an invoice has not yet been generated, click "<u>No</u>" and OST will generate the invoice the next day so a match between the payment and the invoice can be completed. Proceed to <u>*Step 8*</u>.
 - Hover on (i.e., place the cursor over) the contractor name to display the current address information of the contractor. If incorrect, change the contractor address in TAAMS and TFAS Name & Address. See the appropriate User's Guide for further instruction.
- If there is not a TFR invoice and/or encumbrance record to associate with the payment, research TAAMS. See the TAAMS User's Guide for further instruction.
 - If a contract record is found in TAAMS, ensure the contract has been approved and payment terms applied.

Status	Description
Pending	Payment information has been uploaded to TFAS, awaiting an invoice number (usually between 90 and 45 days before payment due date).
Billed	A TFR invoice has been generated (usually within 45 days of payment due date).
Future	Payment information has not been uploaded to TFAS (usually more than 90 days before the payment due date).

• Review information on the TAAMS contract payment terms screen:

• If the payment term has been applied, the contract record approved and the

next due date is within 45 days but the TAAMS status is "pending" rather than "billed", contact OST Branch of Income Collections (BIC) to determine the reason an invoice has not been generated.

- If the payment term has been applied and the next due date is more than 90 days in the future, proceed to <u>Step 5</u> to provide posting and/or contractor refund instructions to BIC.
- The new or revised data will upload to TFAS in the nightly upload file and the payment will match the TFR invoice record and distribute to the TFAS IIM and Tribal account(s) in the next posting cycle.
- If a forestry advance payment has been received and the tract under lease has both trust and non-trust owners, notify BIC immediately that the payment must be manually distributed.
 - Ensure that the contract payment term was encoded in TAAMS as "Distribute to Owners No".
- If a past due payment has been received for a contract that expired or terminated before the agency's TAAMS conversion date, initiate the appropriate compliance action in accordance with the applicable regulation (e.g., invoice for late payment penalties) and encode a Receivables Document in the TAAMS Leasing Module. See 25 CFR and the TAAMS User's Guide for further instruction.
- Proceed to <u>Step 8</u>.
- <u>Step 5:</u> If a payment was matched to the wrong invoice, contact the BIC Primary Regional Contact immediately by the fastest means possible so that the error can be corrected before funds are distributed to the wrong IIM and Tribal account(s).
- *<u>Step 6:</u>* If required, research a payment where the amount paid does not match the amount invoiced.
 - If the payment received is within twenty-five cents (\$0.25) of the amount invoiced, BIC will adjust the payment amount to compensate for rounding differences and distribute the funds. No further action is required by agency staff.
 - If adjustments were made to a contract after the invoice was generated, correct the payment due in TAAMS. See the TAAMS User's Guide for further instruction.
 - When the new payment term uploads from TAAMS to TFAS, TFR will generate a new invoice and BIC will make a manual match.

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- If a trust and non-trust payment are combined in one payment (e.g., rental and administrative fee combined in one check), the non-trust portion should be posted to the OIP Transfer Account in TFAS and a SF-1081 prepared to transfer the non-trust funds to the appropriate account in the Federal Financial System (FFS) within three (3) business days of posting to the OIP Transfer Account (see Exhibit <u>2</u> Instructions for Completing Form SF-1081).
 - The SF-1081 must include the following information:
 - **Customer Agency Section** containing the Disbursing Agency information;
 - **Billing Agency Section** containing the Receiving Agency information;
 - a detailed explanation of funds to be transferred; and
 - a reference to attached supporting documents.
- Proceed to <u>Step 8</u>.

• Click the "Action" button in the Outstanding Checks Report/Process payment record.

eturn to Ienu			TFR LOCKBOX				<u>New Se</u>
		Outsta	nding Checks Report/Pr	ocess			
CHEYEN	NE RIVER	AGENCY					
	Check Lec	<u>Check Deposit Date</u>	Contractor Name	<u>CT Num</u>	<u>Check</u> <u>Amt</u>	Stat	<u>us</u> Images
1 Action	6:497	04 Dec 2007	DARREN DUCHENEAUX	CT12A339450	1,417.25	New	<u>Check</u>
	Latest Comm 340S081116.	ent - I gave the wrong Special - 12/05/2007 2:10 PM MDT	Deposit Account. The right account is (monal)				
2 Action	65498	04 Dec 2007	FANNY BREWER	CT12A339450	1,355.83	New	Check
	Latest Comm 1:23 PM ME	<u>ent</u> – Landsale, Paperwork su)T (rlebeau)	bmitted to Sonya Shaving, OFTM 12/05/2007				

• Click "Add Comment".

<u>Step 8</u> Describe any action taken or distribution instructions in the TFR "Add New Comment" field for the payment record.

🗿 Sele	ct Invoices to Match - Microso	ft Intern	et Explorer				(×		
	Check Number/Deposit Da	nte	65497 - 04 Dec 2	007		Status -New					
	Check Name		DARREN DUCH	ENEAUX (CH	EYENNE RIV.	ER AGENCY])				
	Amount Paid		1,417.25								
	CT		CT12A339450			View	Check				
	OST Batch										
	Check Amount Left To Allocate 1.417.25										
Comments											
	12/05/2007 2:10 PM MDT	I gave th 340S08	e wrong Special De 1116.	eposit Account.	The right accou	nt is	monal				
	12/05/2007 2:08 PM MDT	I did a T account	FR Worksheet on 1 340S081117 - FM	12/05/2007 to HA Lands.	deposit this amo	unt in this	monal				
Invoice Num	Contractor Name		Agency	Lease	Invoiced Amount	TFAS Amt Due	Due Date		^		
72904	DARREN &/OR MICHELLE AHSHAPANEK	AN.	ADARKO AGENCY	8040506170709	AU 0.	0.00	01/01/2008	Invoice			
46733	DARREN &/OR MICHELLE AHSHAPANEK	AN.	ADARKO AGENCY	8040506170709	AU 0.	00 0.00	01/01/2007	<u>Invoice</u>			
73094	DARREN BAKER	AN.	ADARKO AGENCY	8020494320408	AU 1,500.	00 1,500.00	01/01/2008	Invoice			
73101	DARREN BAKER	AN.	ADARKO AGENCY	8020494210408	AU 1,650.	00 1,650.00	01/01/2008	Invoice			
73320	DARREN BAKER	AN	ADARKO AGENCY	8020485200312	AU 450.	00 450.00	01/01/2008	Invoice			
73592	DARREN BAKER	AN	ADARKO AGENCY	8020498220509	AU 1,650.	00 1,650.00	01/01/2008	Invoice			
13393	DARGEN B. KER	AN.	ADARKO AGENCY	8020494660509	AU 0.	00.00	01/01/2008	Invoice	•		
Add C	Comment				Search Invoices			Clo	se		

• Add progress detail and posting instructions. Click "Insert Comment". TFR will automatically record who entered the comment, on what day and time.

TFR LOCKBOX												
Comments on Check												
RecNum:	65110	By:	CSlating									
Comments	This is a test.		<u>^</u>									
	Insert Comment	Clos	e Window									

• If the payment will never have an invoice to match in TFR; e.g. SSI or VA checks, forestry or land conveyance payments, enter posting instructions and describe any supporting documentation that will provided to OST to the comment field.

• The payments must be posted manually through Customer Stratastation (CSS).

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- **Step 9:** Bring issues preventing the timely processing of trust payment to the attention of the Deputy Regional Director for Trust and the OST Regional Trust Administrator for resolution.
- <u>Step 10:</u> If required, refund overpayments or return incorrect payments to the submitter.
 - Add a comment in the TFR payment record that the money should be refunded and BIC will post the funds to the "999" account.
 - Deliver a SF 1034 public voucher (PV) and Form D-3 (IIM accounts) or TD-3 (Tribal accounts) to OST Field staff so that a disbursement check will be mailed to the payor within three (3) business days (see <u>Exhibit 3</u> Sample SF-1034 and Form D-3 and Instructions IIM Non-Scheduled Check or Direct Deposit Request).
- *<u>Step 11:</u>* If an underpayment, determine the penalty charges due pursuant to the contract terms.
 - Input penalty charges per the contract terms on the contract record "other payment terms" screen in TAAMS. See the TAAMS user's Guide for further instruction.
 - Indicate "Distribute to Owners Yes" so that the information will upload to TFAS and TFR will generate an invoice.
 - When late payment charge is received, it will automatically match and distribute to the appropriate TFAS accounts.
 - Mail a 10-Day Show Cause Notice to the delinquent payor, indicating the rental and penalty amounts due. See Exhibit 4 for a Sample 10-Day Show Cause Notice.
 - See the appropriate BIA Handbook and relevant sections of 25 CFR for detailed contract compliance procedures.
- Step 12:If required, open or reopen appropriate TFAS accounts (see the OST Desk
Operating Procedure Volume I, Section I Account Maintenance and
Exhibit 5 Policy for Assigning Individual Indian Money Account/Owner
ID Numbers for further instruction).
 - Under very specific circumstances, the payment may be posted to a TFAS Special Deposit Account (SDA). There are only 3 instances in which depositing funds into an issue-specific TFAS SDA instead of an IIM or Tribal account is allowable:
 - 1. Awaiting a solicitor's opinion or policy decision
 - 2. Under appeal or involved in litigation
 - 3. Awaiting completion of a Cadastral survey

Supporting documentation must be supplied before OST will open the issuespecific SDA. All funds to be posted to the issue-specific SDA account must be covered by the exception and supporting documentation.

- <u>Step 13:</u> Daily, access the Income Distribution Reports (either single or multi-tract) in Stratavision to review which TFAS accounts and in what amounts a payment was distributed the previous night (see <u>Exhibit 1</u> Accessing Stratavision Reports).
 - Notify BIC Primary Regional Contact immediately if a payment was posted to a TFAS account in error.
 - If notified immediately, BIC can correct the error before money is disbursed to the wrong recipient.

Exhibit 1 Accessing Stratavision Reports

I. Access the Income Distribution Reports in Stratavision

1. Double click on the Stratavision Icon on your desktop.



Stratavision Panagon Report Manager 4.0.Ink

2. Enter your User Name and Password and click "Logon".

Panago	n Report Man	ager Desktop Logon		×
	User Name Password Domain	cslating xxxxxxxxx4 ST	Logon Cancel	
ſ	Use Curre	nt Windows Logon Connections	Connection <<	
	Panagon		Properties	
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			Delete	

- 3. Click on "File" in the header and select "Open Document".
- 4. In the Folder(s) menu, scroll down to "TRUST 3000 DAILY REPORTS/TAAMS INTERFACE" and click on the display.
- 5. In the File Date fields, enter the date range of the report(s) you want to review. For example, if you wanted to review the distribution of payments that were deposited on August 1, 2006, click on the down arrow in the "From" field and select August 1 on the calendar. Click on the down arrow in the "To" field and select August 2 on the calendar.
- 6. A. In the Document(s) menu, scroll down to "Income Distribution" and select the report for the appropriate filing date; in the example above, "Income Distribution jm428inc.001 August 1, 2006". Click OK.

Open Document					×
Folder(s)	Document(s)				
🗖 TFAS STATEMENTS 🛛 🔼	Document Name	File Name	Filing Date	Pages	^
	Encumbrance Recon	jm428rpr.003	Aug 01 2	12	
TRIBAL UMNI STATEMENTS	📑 Expiration Detail Rpt	jm428exp.001	Aug 02 2	4	-
	Expiration Detail Rpt	jm428exp.001	Aug 01 2	4	
Trust 3000 Monthly Reports	Income Allocation	jm428inc.001	Aug 02 2	5	
TRUST 3000 WEEKLY REPOR	Income Allocation	jm428inc.001	Aug 01 2	11	
🔁 WYANDOTTE 💻	Missing Real Property	jm428rpm.002	Aug 02 2	3	
	Missing Real Property	jm428rpm.002	Aug 01 2	3	
	Multi Reject	jm428rpm.003	Aug 02 2	4	~
Type (All Document Types)	File Date From Aug 01 2006	▼ To	Aug 02 2006		•
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	8020	00887	0		10	.00	0.08	3333	3330	0.08	83333	333	2																			
	8020	00887	2		4	.00	0.03	3333	3330	0.00	33333	333	1																			
	8020	00913	7		0	. 76	0.00	6250	0000	0.00	06250	000	0																			
	8020	00914	1		0	. 76	0.00	6250	0000	0.00	06250	000	0																			
	8020	00999	4		1	.51	0.01	2500	0000	0.03	12500	000	0																			
	8020	01002	1		1	.60	0.01	3281	2500	0.03	13281	250	0																			
	8020	01002	2		0	.10	0.00	0781	2500	0.00	00781	250	0																			
	8020	01002	3		0	.10	0.00	0781	2500	0.00	00781	250	0																			
	8020	01002	4		0	.04	0.00	0260	4167	0.00	00260	416	7																			
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	8020	01927			0	67	0.00	5555	5556	0.00	15555	555	6																			
	8020	01983	4		0	67	0.00	5555	5556	0.00	15555	555	6																			
	8021	02067	2		0	.25	0.00	2083	3333	0.00	02083	333	3		_	_	_	_	_			_		_	_	_	_	_		_		
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	8020	02259	8		0	.67	0.00	5555	5556	0.00	05555	555	6																			
	8020	02312	2		0	. 38	0.00	3125	0000	0.00	03125	000	0																			
1	8020	02312	2		0	. 38	0.00	3125	0000	0.00	03125	000	0																			
	8020	02312	3		0	. 37	0.00	3125	0000	0.00	03125	000	0																			
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B. In the Document(s) menu, scroll down to "BSD Multi Tract Income Distribution" and select the report for the appropriate filing date. Click OK.

Open Document		
Folder(s)	Document(s)	
Trust 3000 Daily Reports	Document Name	File Name 🛛 Filing Date 🔼
TRUST 3000 DAILY REPORTS\TA4	BSD Multi Tract	jm428mlt Dec 06 2 📃
Trust 3000 Monthly Reports	BSD Multi Tract Income Allocation	Dec 06 2
WYANDOTTE	😑 BSD Multi Tract Income Rejected	Dec 06 2
DAILY	Encumbrance Recon	jm428rpr Dec 06 2
MONTHLY	Encumbrance Recon	jm428rpr Dec 06 2
STATEMENTS	Encumbrance Recon	jm428rpr Dec 06 2
	Encumbrance Recon	jm428rpr Dec 06 2 🔽
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Type (All Document Types)	File Date From Dec 06 2006 To	Dec 07 2006
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RUN DATE: 12/07/06		DOI - OFFICE	OF THE SPECIAL TRUST. INCOME ALLOCATION	EE (OST)	
		BATC	H DATE: 12/06/06		
ENCUMBRANCE	INVOICE #	TRACT ID	CONTRACTOR	CONTRACTOR NAME	
000042200008	21220 201	10223	201000025	ONADD FETTIC	
000043200000	21220 301	10224	301000033 H	JOARD FEITIG	
ACCOUNT #	INCOME PAID	OWNERSHIP	MONETARY		
301A002119	\$8.25	0.019047619	0.0209424	621	
301N010128	\$0.54	0.0012244050	0.0013712	291	
301T301030	\$9.72	0.0224489796	0.0246821	242	
3010000219	\$9.72	0.0224489796	0.0246821	242	
3010000491	\$9.73	0.0224489796	0.0246821	242	
3010000538	\$17.01	0.0392857143	0.0431937	173	
3010000599	\$6.80	0.0157142857	0.0172774	869	
301000834	\$9.73	0.0224489796	0.0246821	242	
3010000894	\$34.02	0.0785714286	0.0863874	346	
3010001011	\$11.67	0.0269387758	0.029618	549	
2010001156	200.00	0.15/14205/1	0.1/2//48	292	
3010001377	\$11.66	0.0269387755	0.029618	549	
3010001501	\$9.72	0.0224489796	0.0246821	242	
3010001679	\$1.08	0.0024943311	0.0027424	583	
3010001689	\$11.67	0.0269387755	0.029618	549	
3010002118	\$1.62	0.0037414966	0.0041136	874	
301U002395	\$1.08	0.0024943311	. 0.0027424	583	
3010002449	\$8.51	0.0196428571	0.0215968	586	
3010002742	\$1.08	0.0024943311	0.0027424	583	
3010002778	\$51.04	0.1178571425	0.1298811	819	
3010003008	20.23 \$8.25	0.019047619	0.0209424	003	
3010003436	\$1.08	0.0024943311	0.0027424	583	
3010003705	\$0.54	0.0012471655	0.0013712	291	
3010003780	\$1.62	0.0037414966	0.0041136	874	
3010004037	\$0.54	0.0012471655	0.0013712	291	
3010004160	\$8.50	0 0196428571	0.0215968	586	
					Þ

Hint: Check the TFR Check Query Report first and note the Invoice No. for the invoice that the payment was posted against. When you access a distribution report, click on the binoculars on the top of the screen (search function), enter the invoice number you noted, and the screen will display the payment.

II. Access the Income Rejected Items Reports in Stratavision.

- 1. Follow Procedure I steps 1 -4.
- 2. In the File Date fields, enter the date range of the report(s) to review. For example, to review the payments that were deposited on August 1, 2006 but were

rejected when posting to TFAS was attempted, click on the down arrow in the "From" field and select August 2 on the calendar. Click on the down arrow in the "To" field and select August 3 on the calendar.

3. A. In the Document(s) menu, scroll down to "Real Income Reject" and select the report for the appropriate filing date; in the example above, "Real Income Reject jm428inc.002 August 2, 2006". Click OK.

Open Document					×
Folder(s)	Document(s)				
🛅 TFAS STATEMENTS 🛛 🔼	Document Name	File Name	Filing Date	Pages 🔼	Ĩ
💼 Trial Data	🗧 Real Direct Data Ma	jm428npd.002	Aug 01 2	3	
TRIBAL UMNI STATEMENTS	🗧 Real Encumbrance	jm428exp.003	Aug 02 2	3	
	😑 Real Encumbrance	jm428exp.003	Aug 01 2	3	
Trust 3000 Monthly Reports	🗧 Real Encumbrance	jm428exp.002	Aug 02 2	4	
TRUST 3000 WEEKLY REPOR	📑 Real Encumbrance	jm428exp.002	Aug 01 2	4 💻	
🔁 WYANDOTTE	🗧 Real Income Reject	jm428inc.002	Aug 02 2	4	
DAILY	📃 Real Income Reject	jm428inc.002	Aug 01 2	4	
	Real Property Data	jm428npe.002	Aug 02 2	5 🗸	
Type (All Document Types)	File Date From Aug 01 2006	▼ To	Aug 02 2006	•	
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ENC	UMBI	RANCE	INCOM	E REJE	CTED IT:	EMS R	EPORT	F FROM	LOCK	вох 1	. CRI	EATED (ON 8/1	L/06	AT	6:29	PM							PAGE:
REP	ORT	PREPA	REDF	OR:		03	T MAS	STER II	>						0)	N 8/2,	/06	AT	4:23 AM	WITH	A BA	тсн	DATE	OF 8/1/06
ENC	ENCUMERANCE INVOICE # TRACT ID CONTRACTOR # CONTRACTOR NAME AMOUNT DUE AMOUNT PAID																							
000	1841	100009	1	4086	802	1748		80	2007	2505	SI	PINDLE.	TOP EN	IERGY	LLC				2	40.00			240.	00
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J0	B: G	JM4283	NC	DAT	E: 8/ 3	2/06		TIME:	4:2	3:19		BANK:	428	ID:	428									
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a. In the Document(s) menu, scroll down to "BSD Multi Tract Income Rejected" and select the report for the appropriate filing date. Click OK.

NPM-TRUS-21 Release # 08-12

Open Document	×
Folder(s)	Document(s)
Trust 3000 Daily Reports	Document Name File Name Filing Date 🔼
TRUST 3000 DAILY REPORTS\TA4	BSD Multi Tract jm428mlt Dec 06 2
TRUST 2000 WEEKLY REPORTS	BSD Multi Tract Income Allocation Dec 06 2
WYANDOTTE	BSD Multi Tract Income Rejected Dec 06 2
DAILY	Encumbrance Recon jm428rpr Dec 06 2
MONTHLY	Encumbrance Recon jm428rpr Dec 06 2
STATEMENTS	Encumbrance Recon jm428rpr Dec 06 2
D WEEKLY	Encumbrance Recon jm428rpr Dec 06 2 👽
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RUN DATE: 12/07/06 DOI - OFFICE OF THE SPECIAL TRUSTEE (OST) INCOME ALLOCATION REJECT													
	BATCH DATE: 12/06/06												
ENCUMBRANCE	INVOICE #	TRACT ID	CONTRACTOR	CONTRACTOR NAME	UNITY VALUE								
000093600133	 23580		802C034198	LLOYD 4/OR CHAD EDGE	0.000000000								
	REJECT MESSAGES												
	INVOICE AMOUNT IS	ZERO											
000320300005	26648		280C800057	ROMAN FAMILY TRUST	99.998800000								
	REJECT MESSAGES												
	TFAS MULTI TRACT P	ERCENTAGE OUT OF UN	VITY										

Exhibit 2 Instructions for Completing Form SF-1081

Volume I DOP, Section I	II – Disbursing	► Section 3.3 Disbursing Document Preparation, Chapter III
PROCESS I	How is	a 1081 Transfer Processed?
	FO/Staff	<u>.</u>
Step 1	What sou process a such as E	arce documents and information will be received from BIA to a transfer from an IIM Account to another Government Agency BIA?
	1.	 Source documents and information will consist of the following: a) SF 1081 received must contain the following information: (See Illustration below.) i. Customer Agency Section – This section contains the Disbursing Agency information. Agency Location Code Bureau Address Appropriation, Fund or Receipt Symbol – The following items should be noted and entered in this sub-section: TFAS account number Account name Deposit date Total amount of funds to be transferred. Billing Agency – This section contains the Receiving Agency information. Agency Location Code Bureau address Appropriation, Fund or Receipt Symbol – The following items should be noted and entered in this sub-section: Agency Location Code Bureau address Appropriation, Fund or Receipt Symbol – The following items should be noted and entered in this sub-section: Total Amount of Funds to be transferred. FFS accounting string Detailed explanation of funds or reference to attached supporting documents. iv. Billing Agency Contact information. Supporting documents: Schedule of Collection Collection Voucher - only when funds are Non Trust Funds. Lease or Agreement Number including allotment number or legal description. Documentation supporting the type of transaction such as the following: SDA recommended action forms (i.e., research notes). Administrative error documentation.
	2. 1	Date and time stamp the documents.
	3. 1	If the source documents contain all pertinent information, go to Step 2.
	4. 1	If the information listed in Instruction 1 is not provided, the SF-1081 may not be processed. Resolve the deficiency with the submitter.

6

Volume I DOP	Section I	III – Disbursing
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I	STANDARD FORM 1081 Revised September 1982 Department of the Treasury ITFM 2-2500	OF	VOUCHER AND S WITHDRAWALS	CHEDULE AND CREDITS	Transaction Date
I	CHARGE AND CREDIT WILL BE REPORTED ON OUSTOMER ADENCY STATEMENT OF TRANSA TIONS FOR ACCOUNTING PERIOD ENDING	G-			Document No.
ł	CUSTOWER	AGENCY		81.1	ING AGENCY
	Agency Location Code (ALC)	Customer A	gency Voucher No.	Agency Location Code (AL	C) Billing Agency Voucher No.
ĺ	DEPARTMENT			DEPARTMENT	
	BUREAU ADDRESS			BUREAU	
ĺ	SUMMAR	Y			SUMMARY
	APPROPRIATION, FUND, OR RECEIP	I SYMBOL	AMOUNT	APPROPRIATION, FUND, OR F	RECEIPT SYMBOL AMOUNT
	(MUST AGREE WITH BELLING AGENCY TOTAL)	TOTAL		(MUST AGREE WITH CUSTON AGENCY TOTAL)	IER TOTAL
	BILLING AGENCY CONTACT:				
	BILLING AGENCY CONTACT: PREPARED BY				
	BILLING AGENCY CONTACT: PREPARED BY TELEPHONE NO.	7			
	BELLING AGENCY CONTACT: PREPARED BY	CER	TIFICATION OF CUST	TOMER OFFICE	
	BILLING AGENCY CONTACT: PREPARED BY APPROVED BY TELEPHONE NO I certify that the items listed	CER	THEICATION OF CUST	FOMER OFFICE yment from and to the appropria	tion(s) designaled.
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Office of the Special Trustee for American Indians

July 15, 2005

In the summary section, the left side is usually the "from" side and should show the OIP Transfer Account (OT3222015) and the right side is usually the receiving "to" side and should contain the FFS account information.

7

Funds to BIA from OST

STANDARD FORM 1081 Revised September 1982 Department of the Treasury I TFRM 2-2500	0				те	2) D	ate au	tomatic
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Exhibit 3 Sample SF-1034 and Form D-3 and Instructions

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FAX TO:	505/248-5700
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D-3 CH	IIM NON-SCHEDULED ECK OR DIRECT DEPOSIT REQ CSS EXCEPTION	UEST					
	(CASH - DISB)	Control ID:					
ACCOUNT NO .:	ACCT NAM	ſE:					
PAID PRINCIPAL:	(Disbursement \$ Amount)						
INCOME: (Used for Life Estates and Estates) (Disbursement \$ Amount)							
DISBURSEMENT CODE: 1 Code #	Enter a code from the Disbursement codes list : Description:	in ADMIN RR DCOD DC.					
PAID TO TAX ID#:	NAME:						
OR enter the payee's IF YOU ENTERED LINES BELOW	(If ACH payment, enter the bank's ABA ACH Routing s Name & Address below (Each line is 36 characte) "PAID TO TAX ID#", DO NOT COMPL	g Number) rs). ETE NAME & ADDRESS					
NAME:							
ADDR:							
ADDR:							
ADDR:							
PAID FOR TAX ID#:	Name:	otherwise enter NO ONE.)					
PRODUCE CHECK Y/N: Y EXPLANATION: (Enter document # for PV's, inv	for check N for ACH (circle the appro- oices, statements, etc. This explanation will appear of	priate code) n the check - Maximum 50 characters					
ASSET REFERENCE: <u>BL</u> TREAT AS INCOME: <u>BL</u> FOR ACCRUALS: <u>NC</u>	ANK P#: <u>B</u> ANK INCLUDE 1099R Y/N: <u>N</u> D DATE INCOME APPLIES: *	LANK I					
EXPANDED EXPLANATIO Line 1: Line 2: Line 3: Line 4:	N (if needed – each line has a maximum of 50 character	5)					
Must attach a notarized or DO OTFM 01-005 or letter.	I witnessed disbursement request, e.g., a Disbur	sement Authorization Form					
Prepared by:	Phone:	Date://					
Pre-QA Approval:	Phone:	Date:////////_					
Entered by:	Batch #:	Tran #:					
Post Verified by:	Phone:	Date: / /					

Workticket Last Updated: 3/1/2002

Field Name	Description
CONTROL ID	Enter the three digit Control ID assigned to your region, e.g., 431 for Juneau, etc. This is needed for the document imaging only and will not be encoded on the TFAS screen.
ACCOUNT NO.	Enter the number of the account making the payment.
ACCT NAME	Enter the name of the account.
PAID PRINCIPAL	Enter the amount to be paid out of the principal portfolio.
INCOME	Enter the amount to be paid out of the income portfolio. (This is used for Life Estates and Estate accounts only).
DISBURSEMENT CODE:	Enter the appropriate TFAS disbursement code from the codes list in ADMIN RR DCOD DC.
DESCRIPTION	Enter the name of the disbursement code for verification.
PAID TO TAX ID#	If this is an ACH payment, enter the receiving bank's ABA number. Otherwise, enter the social security number or if none, the pseudo account code of the party receiving the payment. Refer to the Name & Address Preparation Instructions for the Pseudo Account Code Configuration.
/NAME	Enter the name of the party receiving the payment.
NAME	Do not complete the Name and Address fields if you entered a Paid To Tax ID # above. If this payment is a one-time payment and the name and address have not been set up in TFAS, then enter the name and address here.
ADDRESS	If you did <u>not</u> enter a PAID To Tax Id # above, enter the address where the check should be mailed.
PAID FOR TAX ID # /NAME	Enter the Tax ID for the person for whom the payment is for-only if a Name & Address record exists in TFAS, otherwise enter "NO ONE". If you enter a Tax ID above, enter the name of the Daid For Party.
	raid for rany.
PRODUCE CHECK	Circle Y for YES for a check to be produced; or N for NO for an ACH payment.

D-3 - NON-SCHEDULED CHECK OR DIRECT DEPOSIT REQUEST Page 1 of 2

Field	Description
EXPLANATION	Enter a brief explanation for this payment over cancellation transaction. The maximum is 50 characters.
ASSET REFERENCE	Leave blank.
P#	Leave blank.
TREAT AS INCOME	Leave blank
INCLUDE 1099R	Select "N" for NO.
FOR ACCRUALS	Select "N" for NO.
DATE INCOME APPLIES	*
EXPANDED EXPLANATION	If needed, enter additional explanation entries. Each line is 50 characters.
Prepared by/Phone/Date	Enter the name and phone number of the person who prepared the form, plus the date it was prepared.
Pre-QA Approval/Phone/Date	For OTFM / DTFA only. Enter the name and phone number of the person approving the request for processing (Pre-QA), plus the date.
Entered by/Batch # / Tran #	For OTFM / DTFA only. Enter the name of the person encoding the transaction into TFAS, plus the batch number, and transaction number displayed on the screen.
Verified by/Phone/Date	For OTFM / DTFA only. Enter the name and phone number of the person verifying the transaction (Post QA), plus the verification date.

D-3 – NON-SCHEDULED CHECK OR DIRECT DEPOSIT REQUEST Page 2 of 2 PREPARATION INSTRUCTIONS

NOTE: A fillable form is available on the Trust Portal at OST Library/Forms and Templates/OST Work Tickets.

Exhibit 4 Sample 10-Day Show Cause Notice (Adapted from the BIA Leasing & Permitting Procedural Handbook)

UNITED STATES DEPARTMENT OF THE INTERIOR BUREAU OF INDIAN AFFAIRS								
In Reply Refer to: Real Estate Services (406) 555-1234			December 8, 20					
CERTIFIED MAIL RE	CERTIFIED MAIL RECEIPT NUMBER 7000 1670 0000 4613							
Mr. Brown 123 Ace Street Hometown, WY 12345	5							
Dear Mr. Brown:								
This is in reference to y	your lease on the	following allotment:						
Allotment No.	Contract No.	Rental Amount Due	Penalty Amount Due					
0123-A	O-12335	\$1,000.00	\$100.00					
In accordance with the informed that you hav as to why the above lea Be advised that penaltic lease contract(s). A cop you have received it. You may direct any que Office at (406) 555-123	Lease Contract a ve ten (10) busin ase(s) should no es will be assesse py of this letter is estions concernir 34.	nd Code of Federal Reg tess days from your rec of be cancelled. No extend of for late payments in a s being forwarded to you ng this correspondence to	pulations 162.251, you are hereby reipt of this letter to show cause ensions of time will be granted. ccordance with the terms of the a by regular mail to insure that to our Realty Estate Services Sincerely,					

Agency Superintendent

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Exhibit 5 Policy for Assigning Individual Indian Money Account/Owner ID Numbers

· *				양한 날 감독하는 것					
The second se		United States De Bureau Washin	partment of t of Indian Affairs gton, D.C. 20240	he Interio s	r				
	INDI	MAY 2 3 2006							
TO:	A	All AS-IA/BIA Employees OST Employees							
FRO	DM: D SI	Director, Bureau of Indian Affairs							
SUE	BJECT: Po	blicy for Assigning Individ	ual Indian Money	Account/Own	ner ID Numbers				
This num supe	memorandu bers and Bui rsedes any p	m establishes the policy fo eau of Indian Affairs (BIA revious directives regardin	r assigning Individ) identification (II g this practice.	lual Indian M)) numbers. ´	oney (IIM) account Fhis memorandum				
All a com com	account/Own pliance with pliance.	er ID numbers assigned aft this policy. All existing ac	er the date of this count/Owner ID n	memorandun umbers will b	n must be in e brought into				
Supe indivinto Supe juris	erintendents/ viduals that a the appropri erintendent/F diction is res	Field Representatives are r re enrolled in Tribes under ate system(s) of record with ield Representatives assign ponsible.	esponsible for the their jurisdiction. hin three business hed to the local age	assignment o The ID num days of reque mcy, the Reg	f ID numbers for bers must be entered st. If there is not a ional Office with				
Belo 1. <u>C</u> table	ow are the fo Categories: T e.	mats for assigning number here are four categories of	s: account/Owner II	Os as illustrate	d in the following				
Category No.	Cat	egory Descriptions	Resulting Nu OST an	umbers for d BIA	Agency Responsible for Assigning the Number				
I	Individual trust or res	with a direct interest in tricted land	IIM Account	BIA ID	BIA				
П	Individuals or curtsy, o trust or res	with a life estate, dower r homestead interest in tricted land.	IIM Account No.	BIA ID No	BIA				
Ш	Individuals from other Veterans A	with proceeds resulting agency income (i.e. ffairs or Social Security.)	IIM Account No.	NA	Written non-delegable authorization from the Director, BIA				
IV	Individuals from per ca Tribal Trus Awards.	with proceeds resulting pita distributions from t Funds or Judgment	IIM Account No.	NA	OST to use provided information				

2. IIM Account/ID Number Size:

Policy:

The use of the existing ten (10)-character numbers will remain the standard for the assignment of IIM account numbers and ID numbers. A maximum of 12 digits for account/Owner Id may be used in the future provided that all systems of record can interoperate.

3. Account/ID Number Format:

Illustration of	of the	number format: 123U12345678
123	=	3-digit numeric code-Tribe Code or Land Area Code or Alaska Regional Corporation Codes;
U	-	I-digit Alpha character-Class Code (also known as Alpha Code); and
123465		6-digit number (current minimum size)-unique sequential number or enrollment number or (in the future)
1234567 or 12345678	A 0.	7 or 8 digit number, as needed, for expansion of IIM account number or ID number

A. Three (3)-Digit Numeric Code-Constitutes a Land Area Code or Alaska Regional Corporation Code or Tribal Code:

i. Land Area Code identifies the reservation on which the trust or restricted land is located or the location of the restricted land in which an interest is being established for a non-Indian, including non-Indian life estate, dower or curtesy, or homestead owners.

OR

ii. Alaska Regional Corporation Code identifies where:

- an Alaska Native is enrolled; or
- a non-enrolled Alaska Native is affiliated. Specifically, the entity most closely affiliated with the individual who previously owned the subject interest(s).

OR

iii. Tribe Code identifies the federally recognized tribe where:

- an individual Indian is enrolled; or
- a non-enrolled individual Indian is affiliated. Specifically, the tribe most closely
 affiliated with the individual who previously owned the subject interest(s).

If an account/Owner ID exists and is in compliance with this policy, additional numbers must not be assigned. If an ID number exists but is not in compliance, a compliant ID number must be assigned and all systems updated accordingly to eliminate the non-compliant ID number.

The use of "generic" Tribe Codes for non-enrolled individual Indians, e.g. "100N" or "500N," shall be prohibited and such "generic" Tribe Codes replaced with Tribe Codes determined using the criteria stated in this policy.

B. One (1) - Character, Alpha - Class Code (also known as the Alpha Code):

The Class Code identifies the account/Owner ID type established for the individual. It is determined as follows:

A-Original Allottee: An enrolled individual Indian granted an original allotment of land. For locations which utilize the Trust Asset and Accounting Management System (TAAMS) for income distribution, this class code will also be utilized to document an Indian who has an undivided fee interest in trust lands.

U-Unallotted Indian: An enrolled Indian other than an original allottee, owning land interests, except when establishing an IIM account number for per capita payments. For locations which utilize the TAAMS for income distribution, this class code will also be utilized to document an enrolled Indian who has an undivided fee interest in trust lands.

N-Non-Enrolled Indian: An Indian not enrolled in a federally recognized Tribe (lineal descendent.) For locations which utilize the TAAMS for income distribution, this class code will also be utilized to document a non-enrolled Indian who has an undivided fee interest in trust lands.

R- Formerly unknown remainderman - no longer valid

X- Non-Indian Fee Interest Owner.

Class Codes for IIM account/ID number for an individual with life estate, dower or curtesy, or homestead interest is:

B- Life Estate, Dower or Curtesy, or Homestead Interests for a non-Indian

L- Life Estate, Dower or Curtesy, or Homestead Interests for an Indian

Class Codes for IIM account/Owner ID numbers for individuals resulting from tribal or judgment per capita distributions are:

Class Codes for IIM account/ID numbers for individuals with a direct interest in trust or restricted land are:

J- Judgment Per Capita Payment. Used only for:

- Minors or emancipated minors;
- Adults-Individuals determined to be non compos mentis, or adults in need of assistance or under legal disability; and
- One-time only after the death of an individual whom the Secretary has determined is eligible to receive judgment funds, but is deceased at the time of distribution and their estate has not been probated.

P- Tribal Per Capita Payment. Used only for:

- Minors or emancipated minors; and
- Adults-Individuals determined to be non compos mentis, or adults in need of assistance or under legal disability; and
- One-time only after death of an individual whom the tribe, through resolution
 or tribal code, has determined is eligible to receive the tribal per capita
 payment, but is deceased at the time of distribution and their estate has not
 been probated.

Each Line Officer/Supervisor is responsible and will be held accountable to ensure their staff: (1) understands the above information; (2) implements this policy; (3) brings all current account numbers into compliance, and (4) remains compliant with this policy. Each Regional Director must develop a Corrective Action Plan (CAP) for current non-compliant numbers. The CAP is due within 45 calendar days of this memorandum date and the completion of the CAP must be scheduled for no later than September 30, 2006.

If you have any questions regarding this directive, please contact:

BIA: Darryl LaCounte, (406) 247-7943 OST: Margaret Williams, (505) 816-1072