INDIAN AFFAIRS
DIRECTIVES TRANSMITTAL SHEET

(modified DI-416)

DOCUMENT IDENTIFICATION NUMBER 52 IAM 3	SUBJECT Monitoring and Clearing of Invoices and Trust Fund Payments From Trust Funds Receivables	RELEASE NUMBER #09-28
FOR FURTHER INFORMATION Trust Services		DATE ˈJUL 1 4 2010

EXPLANATION OF MATERIAL TRANSMITTED:

This chapter prescribes the policy and procedure for the handling of invoices and trust fund payments in the Trust Asset and Accounting Management System (TAAMS) within the TAAMS Invoicing and Distribution module (TID), and prescribes the procedure for implementing the invoice management requirements. This policy is necessary to ensure that the monitoring and clearing of invoices and payments from TID are processed accurately and timely.

for Mike Black
Director, Bureau of Indian Affairs

FILING INSTRUCTIONS:

Remove: None   Insert: 52 IAM 3

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1.1   **Purpose.** This chapter prescribes the policy and procedure for the handling of invoices and trust fund payments in the Trust Asset and Accounting Management System (TAAMS) within the TAAMS Invoicing and Distribution module (TID), and prescribes the procedure for implementing the invoice management requirements. This policy is necessary to ensure that the monitoring and clearing of invoices and payments from TID are processed accurately and timely.

1.2   **Scope.** This policy is applicable to Indian trust programs and offices, including the Bureau of Indian Affairs (BIA) and the Office of the Special Trustee for American Indians (OST), which administer trust contracts, receive and accept payments required by the contracts at the centralized commercial lockbox, and distribute money received to the appropriate TFAS (Trust Fund Accounting System) 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 TID invoice management are the BIA Lockbox Liaisons or an alternate selected for each region in case a Lockbox Liaison is unavailable. Requests to mark a TID invoice paid will only be accepted by BIA Lockbox Liaisons or his/her designated alternate.

1.3   **Policy.** It is BIA policy 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 TID invoices are valid and that trust fund payments are timely matched with invoices for distribution to beneficiaries. Both BIA and OST shall comply with the procedures in section **1.5 Process**. Further, BIA Lockbox Liaisons shall ensure that 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

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develop and execute corrective measures that may be necessary to remove outstanding items from the TID system.

1.4   **Authority.** 25 CFR 162.618

1.5   **Process**

   **A.** Matching Invoices and Payments (New, Outstanding, Suspended Items)

I. Process Overview - New Checks

1. Check is received and scanned at Lockbox
2. Images are sent to TAAMS beginning at 2:00 p.m. Central Standard Time (CST) each day and the upload process is to be completed by 6:00 p.m. CST that day
3. TAAMS searches for check information & images every 15 minutes
4. When data is found it is loaded into TAAMS
5. Agency check matching personnel should be running the "New" check selection process frequently between 2:00 p.m. & 6:00 p.m. CST each day
6. When check information is found, Agency personnel will review the information in the Check Matching icon
7. Checks which Auto-Match will be submitted with no action required by BIA check matching personnel. Auto-Matches can be cleared by BIA check matching personnel as needed prior to 6:00 p.m. CST that day
8. For checks that do not Auto-Match, BIA check matching personnel must review the various records (check & invoice images, encoded contract information or hard-copy of contract) to determine the proper resolution of the record
9. Office of Special Trustee-Branch of Income Collection (OST-BIC) will submit all manually matched checks for posting each night beginning at 6:00 P.M. CST
10. BIA program staff are responsible for the review of payment information prior to and after posting to assure proper distribution
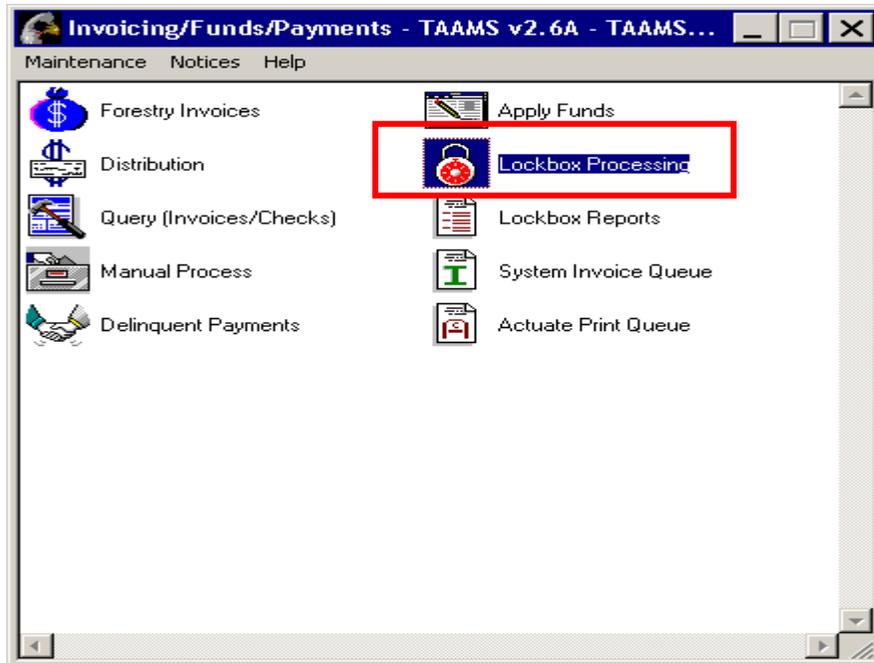
BEGIN BIA PROCESS

BIA Agency staff will:

SELECT "INVOICING/FUNDS/PAYMENTS" FROM TAAMS MAIN DESKTOP
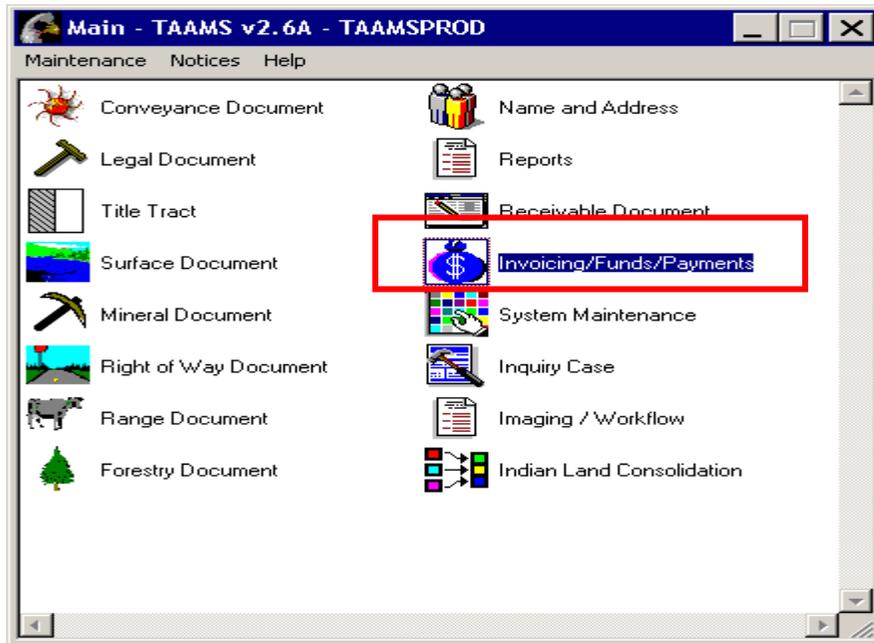
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SELECT "LOCKBOX PROCESSING" ICON

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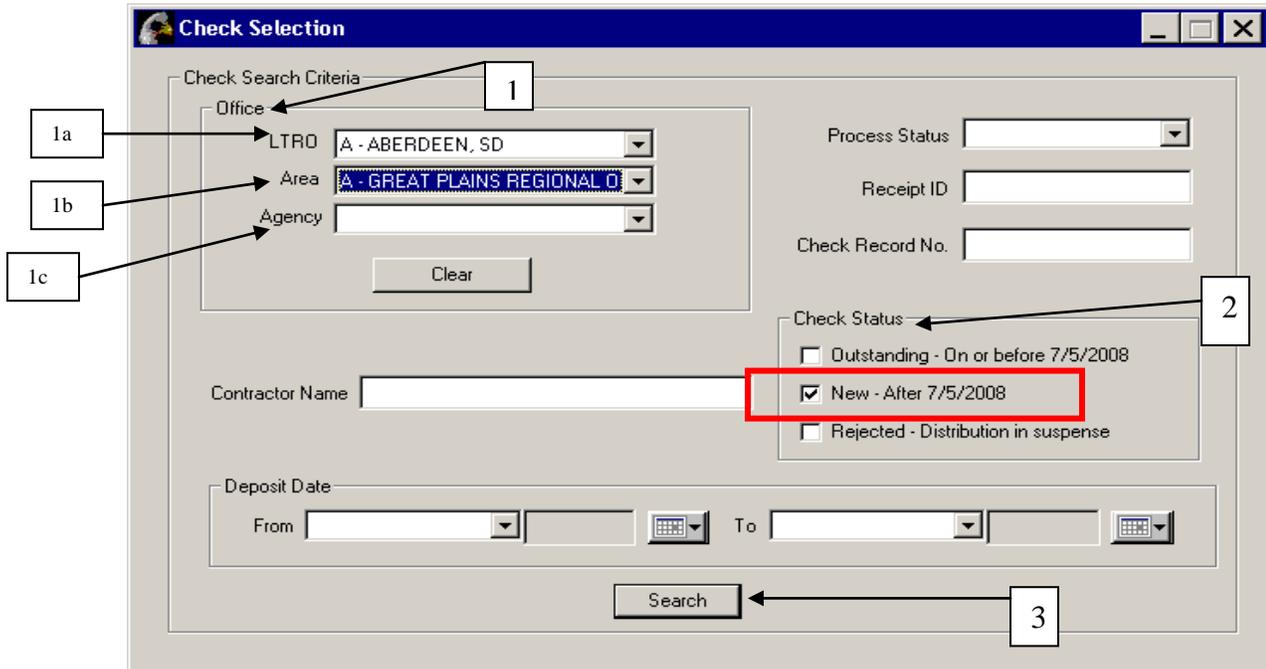| Part 52	Real Estate Services
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CLICK "CHECK SELECTION" BUTTON

"CHECK SELECTION" SCREEN OPENS

Processing Steps & Notes:
1. In "OFFICE" Container, identify search criteria to be viewed
   a. LTRO
   b. Area
   c. Agency
2. Modify the "Check Status" container
   a. The check status defaults to "Outstanding" and "New"
   b. Remove the check mark from "Outstanding"
   c. Select only the "New" check box
3. Click "SEARCH"

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THIS POP UP MESSAGE WILL APPEAR, CLICK OK

CLICK ON "CHECK MATCHING" ICON

VIEW "CHECK MATCHING" SCREEN
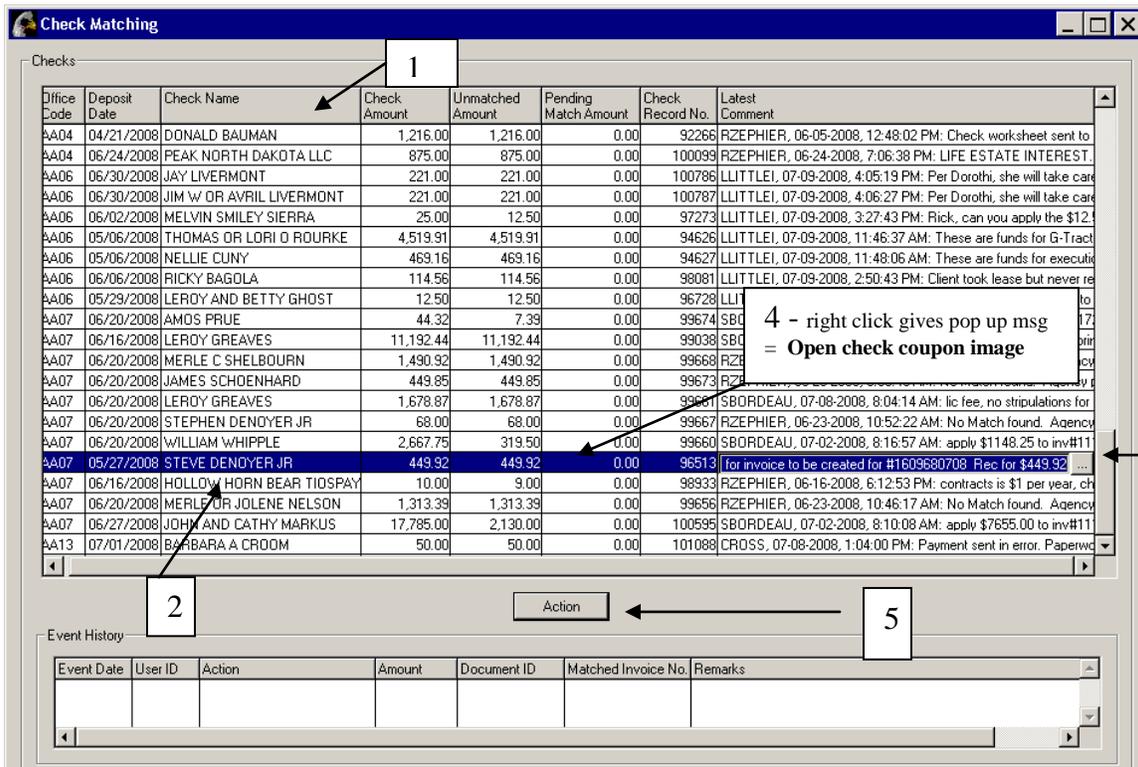
Processing Steps & Notes:
1. You can sort any field by clicking on the column heading
2. To work with a specific check, you must select/highlight it first

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3. To view comments click on ellipse button (…) on right side of comment
4. To view check images use right click and select "open check coupon image"
    a. Images often contain information that will assist you in discovering the matching contract(s) and/or invoice number(s)
5. Click the "Action" button to work with the specific check

THE "CHECK ACTION" SCREEN OPENS

Processing Steps & Notes:
1. Review check comments, if any, for information on check or contract
    a. Comments may indicate action to be taken by Agency, Liaison, or OST
2. Potential invoice matches are loaded into the "Receivable" container
3. You can sort any field by clicking on the column heading
4. If you find the matching invoice, select/highlight the appropriate line
5. Click the "Match" button
    a. Check & Invoice amounts do not have to exactly match
    b. Multiple invoices can be matched to single checks
    c. Multiple checks can be matched to single invoices
6. If no matching invoice is found, select the "Advance Search" button (see Attachment 1A – Advance Invoice Search)

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CHECK & INVOICE MATCH

Processing Steps & Notes:
1. Check & Invoice Match is loaded into "Matched Receipts" container
2. After matching is complete, click "Apply" to apply the matched invoice(s) to the check
3. Add a comment on the "Check Action" screen describing your action
   a. If the Check Amount is less than the invoice amount due, the system requires that a comment be added
4. "Check Amount Left to Allocate" box is either zeroed out or reduced depending on check & invoice amounts
   a. Check & Invoice amounts do not have to exactly match
   b. Multiple invoices can be matched to single checks
   c. Multiple checks can be matched to single invoices
5. If a manual payment is required, click the "Adjustment Form" button
   a. Print the check worksheet
   b. Complete required information

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c. Attach supporting documentation
d. Obtain Authorizing Signature
e. Submit to your local OST Office
f. Add a comment on the "Check Action" screen providing the reason the check requires manual payment.

Manual payments are acceptable only when the check is submitted for:

- a non land asset transaction. E.g. Social Security or Veteran Administration.
- A land sale
- Compacted contracted tribes where their leases are not on TAAMS
- A Direct Payee whose funds have been returned. These funds will be accepted only when the direct payee address has become unknown, or they are deceased. Work tickets to modify the account to reflect the new status must be submitted along with the manual payment. The payment terms must also be modified to ensure the next invoice reflects the proper agency pay amount.
- Crop shares
- Those tracts that require a redirection of income. Invoice numbers must be provided inorder to mark the invoice paid.

See appendix _A_ for the OST requirements on submitting a BSD file.

6. Close "Check Actions" screen

"CHECK MATCHING" SCREEN RETURNS

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Processing Steps & Notes:
1. Check that the check you matched now shows a "Pending Match Amount"
2. "Event History" container is populated with action details

END OF BIA MATCHING PROCESS

BEGIN OST CHECK POSTING PROCESS

Office of Special Trustee – Branch of Income Collections (OST-BIC) personnel "Submit" matched checks each day after 6:00 p.m. Central Standard Time (CST)

Only OST personnel are authorized to perform the Check Posting

OST staff will:

SELECT "INVOICING/FUNDS/PAYMENTS" FROM TAAMS MAIN DESKTOP
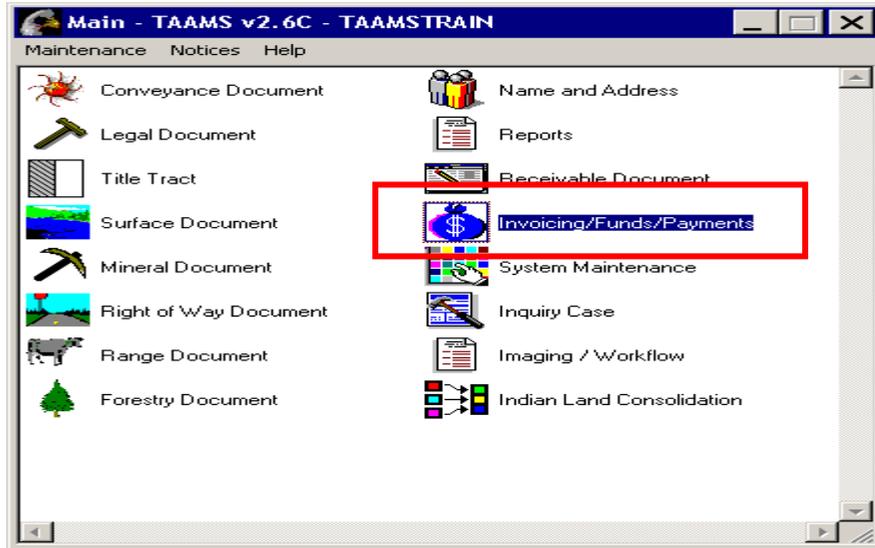
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SELECT "LOCKBOX PROCESSING" ICON
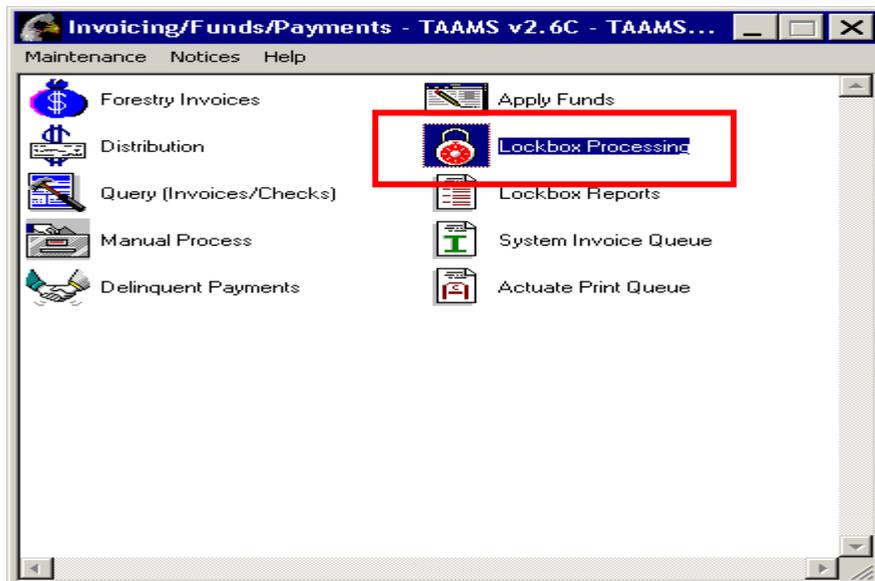
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CLICK "CHECK SELECTION" BUTTON

"CHECK SELECTION SCREEN" OPENS

Processing Steps:
1. Click Clear icon for Office
2. Change Process Data drop down box to <u>M – Matched</u>
3. Clear Check Status
4. Then click Search icon

THIS POP UP MESSAGE WILL APPEAR, CLICK OK

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CLICK "CHECK POSTING" BUTTON

"CHECK POSTING" SCREEN OPENS

Processing Steps & Notes:
1. Select/highlight all Pending Match Amounts
2. Click Submit button
3. Click "X" to close

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4. Select/highlight individual check to review "Pending Matched Receipts" status

END OF OST CHECK POSTING PROCESS

II. Process Overview – Outstanding Checks

1. Check has been received and scanned at Lockbox
2. Check has surpassed the 2 business day processing time frame for the matching and posting of invoices
3. BIA check matching personnel must review the various records (check & invoice images, encoded contract information or hard-copy of contract) to determine the proper resolution of the record
4. BIA program staff are responsible for the review of payment information prior to and after posting to assure proper distribution
5. OST-BIC will submit all matched checks each night at 6:00 p.m. Central Standard Time (CST)

BEGIN BIA PROCESS

SELECT "INVOICING/FUNDS/PAYMENTS" FROM TAAMS MAIN DESKTOP
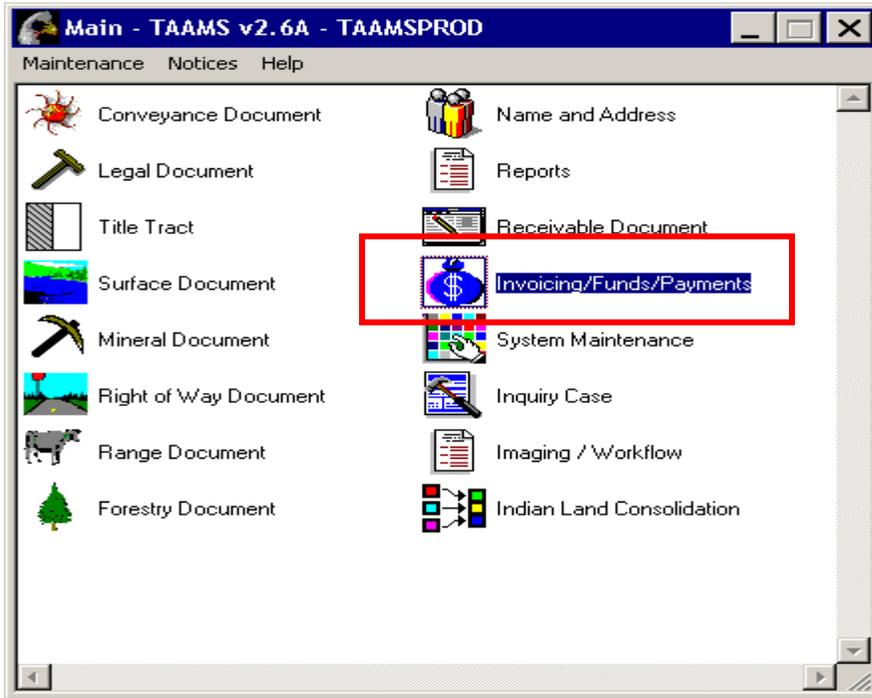
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SELECT "LOCKBOX PROCESSING" ICON
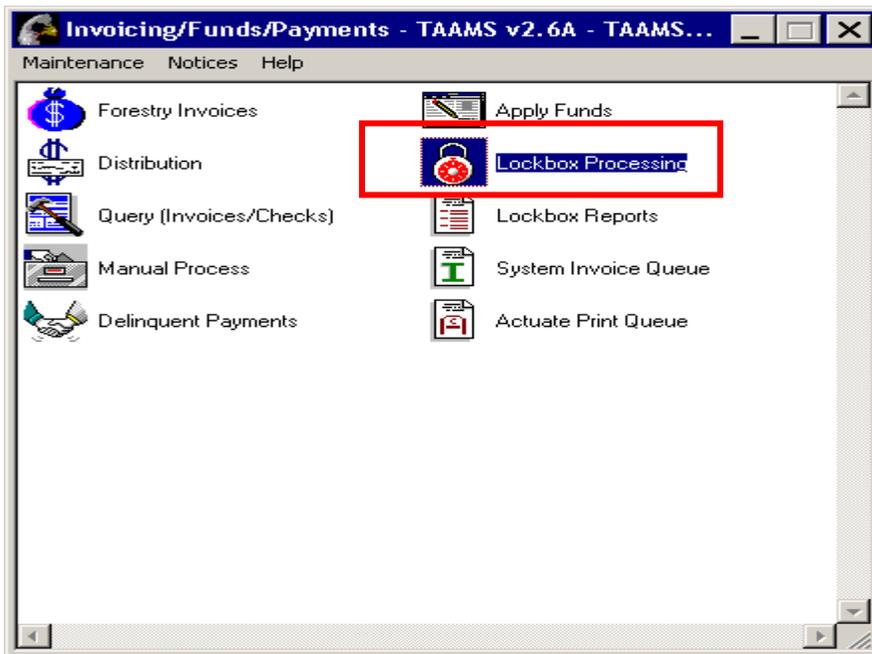
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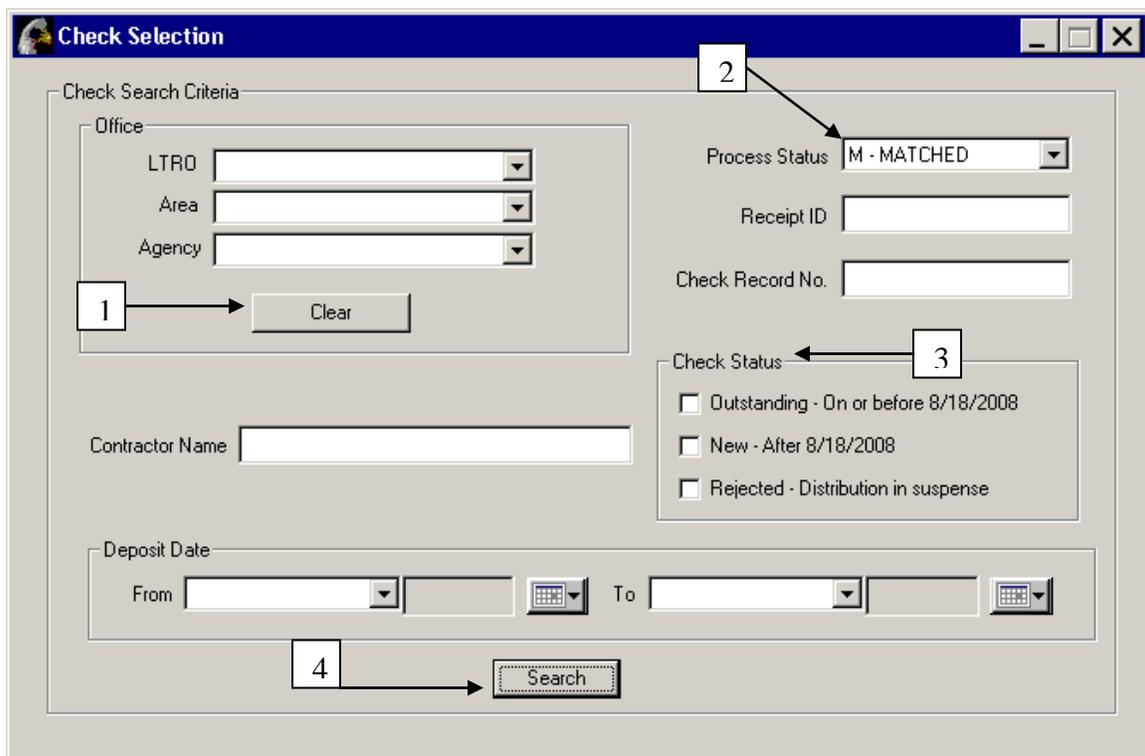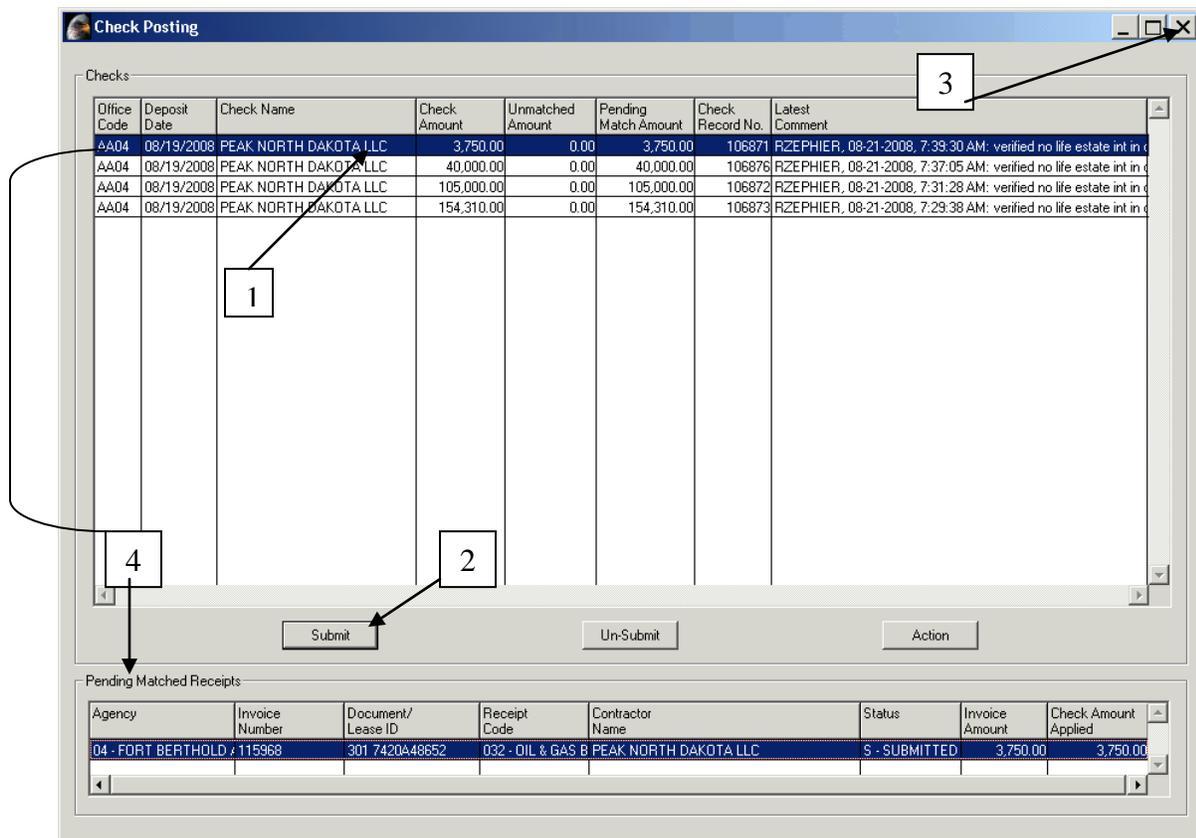Chapter 3   Monitoring and Clearing of Invoices and Trust Fund
                          Payments From Trust Funds Receivables   Page 15___

SELECT "CHECK SELECTION" BUTTON

THE "CHECK SELECTION" SCREEN OPENS

Processing Steps & Notes:
1. In "OFFICE" Container, identify search criteria to be viewed
   a. LTRO
   b. Area
   c. Agency
2. Modify the "Check Status" container
   a. The check status defaults to "Outstanding" and "New"
   b. Remove the check mark from "New"
   c. Select only the "Outstanding" check box
3. Click "SEARCH"

#09-28
New

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THIS POP UP MESSAGE WILL APPEAR, CLICK OK

CLICK ON "CHECK MATCHING" ICON

VIEW "CHECK MATCHING" SCREEN

4 - right click gives pop up msg = **Open check coupon image**
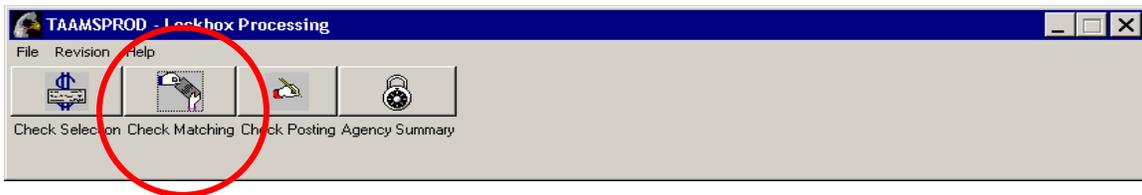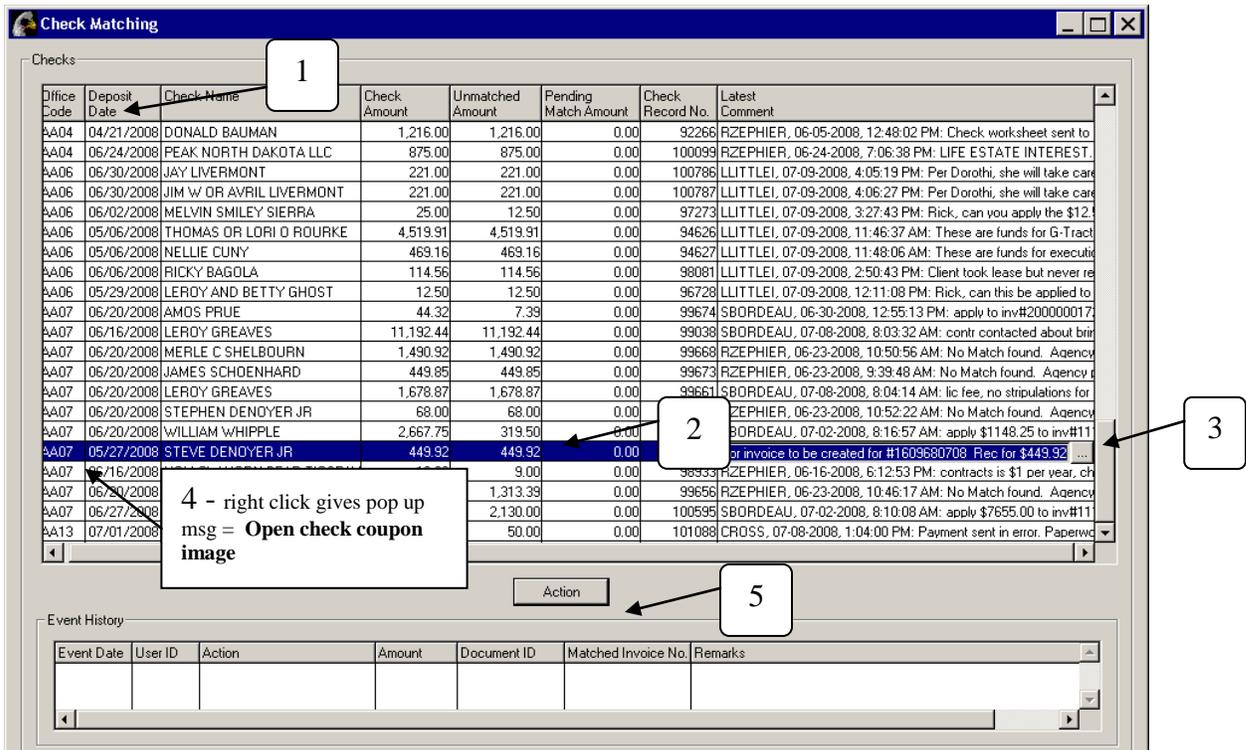
Processing Steps & Notes:
1. You can sort any field by clicking on the column heading
2. To work with a specific check, you must select/highlight it first
3. To view comments click on ellipse button (…) on right side

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4. To view check images use right click and select "open check coupon image"
   a. Images often contain information that will assist you in discovering the matching contract(s) and/or invoice number(s)
5. Click the "Action" button to work with the specific check

THE "CHECK ACTION" SCREEN OPENS

Processing Steps & Notes:
1. Review check comments, if any, for information on check or contract
   a. Comments may indicate action to be taken by Agency, Liaison, or OST
2. Potential invoice matches, if any, are loaded into the "Receivable" container
3. You can sort any field by clicking on the column heading
4. If you find the matching invoice, refer to the New Check process (Attachment 1, Page 5-7) for matching instructions to complete the transaction
   a. Check & Invoice amounts do not have to exactly match
   b. Multiple invoices can be matched to a single check
   c. Multiple checks can be matched to a single invoice

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5. If no matching invoice is found, select the "Advance Search" button (see Attachment 1A – Advance Invoice Search)
6. If a manual payment is required, click the "Adjustment Form" button
    a. Print the check worksheet
    b. Complete required information
    c. Attach supporting documentation
    d. Obtain Authorizing Signature
    e. Submit to your local OST Office
    f. Add a comment on the "Check Action" screen describing your action
7. Close "Check Actions" screen

Process Overview – Suspended (Rejected) Payments

1. Check has been received and scanned at Lockbox
2. Distribution has been suspended on all or part of the check due to an error
3. Agency check matching personnel should be running the "Distribution Suspense" query each day
4. BIA check matching personnel must review the various records (check & invoice images, encoded contract information, hard-copy of contract or title ownership) to determine the proper resolution of the record
5. BIA program staff are responsible for the review of payment information prior to and after posting to assure proper distribution
6. OST-BIC will submit all matched checks each night at 6:00 p.m. Central Standard Time (CST)

BEGIN BIA PROCESS

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SELECT "INVOICING/FUNDS/PAYMENTS" FROM TAAMS MAIN DESKTOP
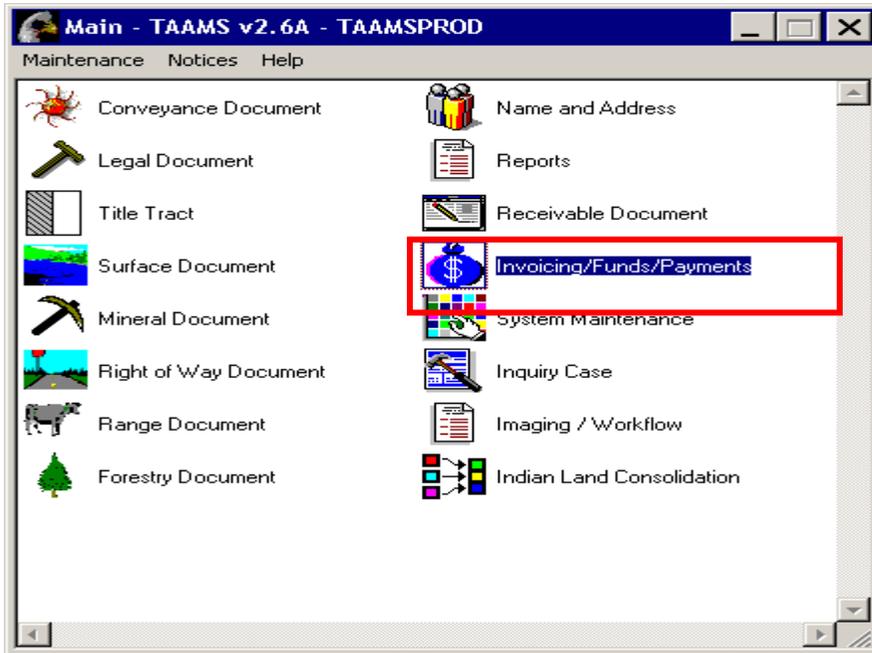
SELECT "DISTRIBUTION" ICON
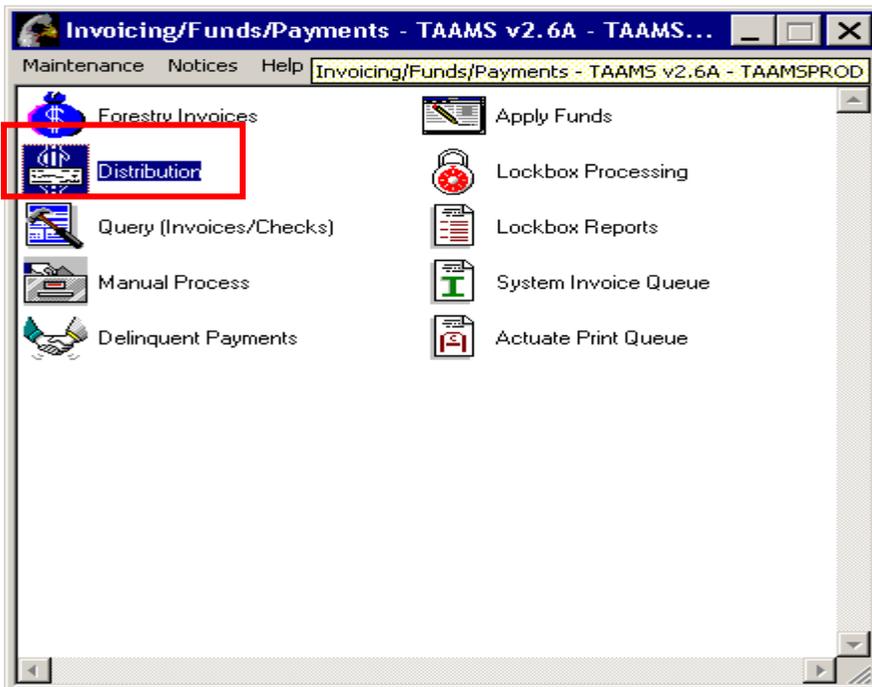
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SELECT "VALIDATION/SUSPENSE" BUTTON

"DISTRIBUTION SUSPENSE" SCREEN APPEARS
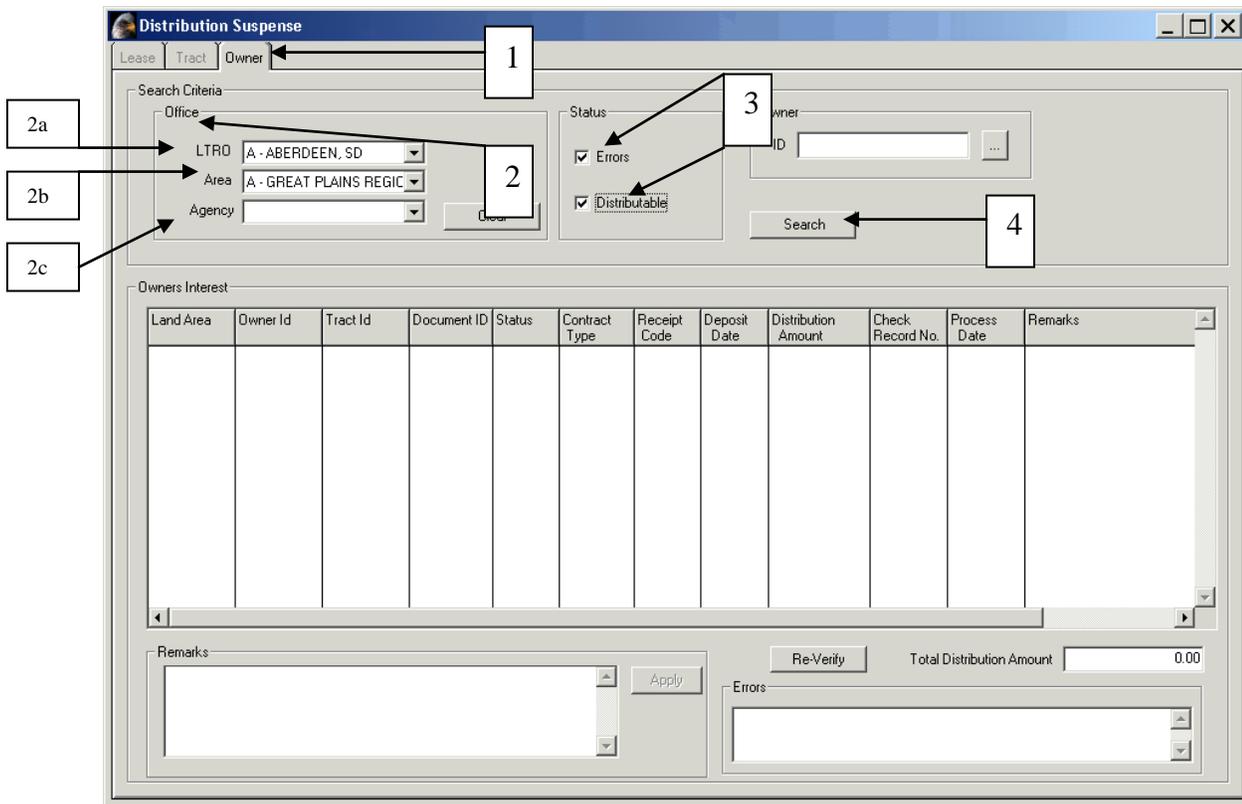
Processing Steps & Notes:
1. Check Lease, Tract and Owner tabs for suspended items
2. In "OFFICE" Container, identify search criteria to be viewed
   a. LTRO
   b. Area
   c. Agency
3. In the "STATUS" container, select "Errors" & "Distributable"
   a. "Errors" under the "Owner" tab are account ID's that need to be opened or
      established in TFAS before submitting for posting to TFAS. The owner

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ID must be opened in TFAS before the funds will be submitted for posting to TAAMS. If the account is open on TFASand TAAMS is showing an incorrect status, notify the TAAMS help desk.
    b.   "Errors" under the "Lease" and "Tract" tabs requires a correction of the contract or tract in TAAMS.
    c.   "Distributable" under all three tabs means that the issue has been resolved and the line item will be submitted for posting to TFAS that evening.
4.   Click the "SEARCH" button

"DISTRIBUTION SUSPENSE" SCREEN LOADS WITH DATA
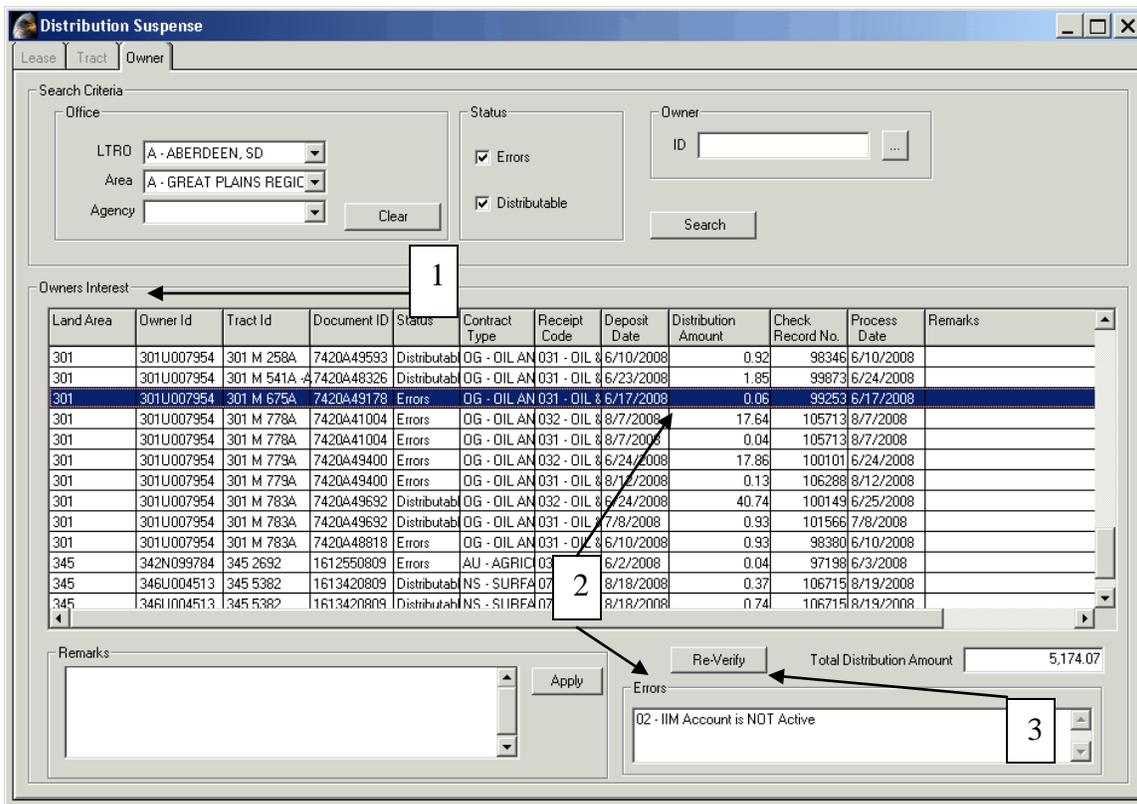
Processing Steps & Notes:
1.   The "Owner Interest" container will be loaded with the current errors and/or distributable records
2.   Select/highlight a line with "Status" of "Errors" and the "Errors" container is loaded with the error type
        a.   See appendix for TAAMS Distribution Suspense code list
        b.   Research must be done to find the cause of the error and have it corrected
3.   Once correction is made, click "Re-verify" button

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a. TAAMS will be updated with newly opened or re-opened IIM account information during the Daily Delta upload from TFAS which occurs overnight

Appendix – Error codes

Code & Definition	Corrective Action
Lease Level	
01 – Document Not Found	- Document would need to be created again (not common)
02 – Tract Share out of Unity	- correct the tract share of the document
03 – Title Tract is NOT Active	- Activate the tract that would be inactive on the document
04 – Invalid Deposit Date	- go find the correct deposit date (manual process)
Owner Level	
01 – No IIM Account for Owner	- Submit documentation to OST to Establish TFAS account
02 – IIM Account is NOT Active	- Submit documentation to OST to re-open TFAS account
Tract Level	
01 – Tract not Found	- correct the document with the right tract
02 – No Current Ownership for Tract	- correct owners on the tract.
03 – Owner Interest NOT in Unity	- correct owners on the tract
04 – No Owner Interest Found	- correct owners on the tract.

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THIS POP UP MESSAGE WILL APPEAR, CLICK OK

"DISTRIBUTION SUSPENSE" SCREEN UPDATES

Processing Steps & Notes:

1. Only the "re-verified" record(s) will appear
2. See Error "Status" for information
   a. If the error has been corrected the "Status" will change to "Distributable" and distribution will be made during nightly posting process
   b. If error still exists, "Status" will remain as "Error" and further research or corrective action must be taken
3. Click the "SEARCH" button again to return to the suspense "Error" list

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"DISTRIBUTION SUSPENSE" SCREEN UPDATES
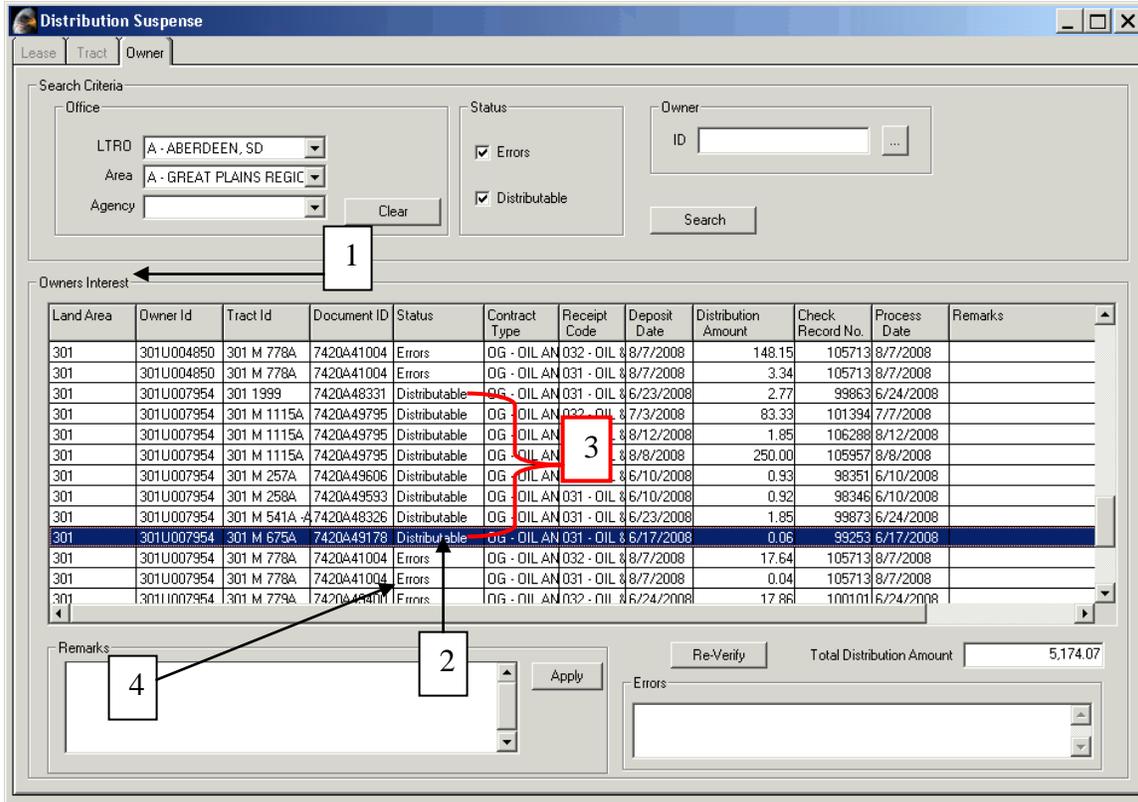
Processing Steps & Notes:
1. The "Owner Interest" container will be updated with the current errors and/or distributable records
2. The re-verified record remains in the list with "Distributable" in "Status"
3. Payments with "Distributable" in "Status" will process during the overnight payment processing
4. Continue working through verification & correction process until all suspended items (Errors) have been corrected

DISTRIBUTION SUSPENSE ITEMS (SUSPENDED ITEMS) CAN ALSO BE VIEWED THROUGH THE CHECK SELECTION, CHECK QUERY & LOCKBOX REPORTS ICONS. HOWEVER, THE RE-VERIFY PROCESS IS THE ONLY WAY TO CORRECT A SUSPENDED ITEM.

END OF BIA REJECT RESOLUTION PROCESS

END OF BIA Matching Invoices and Payments Process

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B. Voiding Invalid Invoices

Process Overview – Voiding Invalid Invoices

1. An incorrect contract payment term has caused an invalid invoice to be generated
2. Agency BIA staff identifies the error and invoice number
3. Agency BIA staff either retrieves contract and voids the incorrect payment term or provides documentation to Regional Lockbox Liaison to determine corrective action
4. Agency BIA staff or Lockbox Liaison must determine if a new, correct payment term is required for the contract
    a. If required, refer to TAAMS training manual for creating payment terms

SELECT SPECIFIC DOCUMENT MODULE FROM TAAMS MAIN DESKTOP
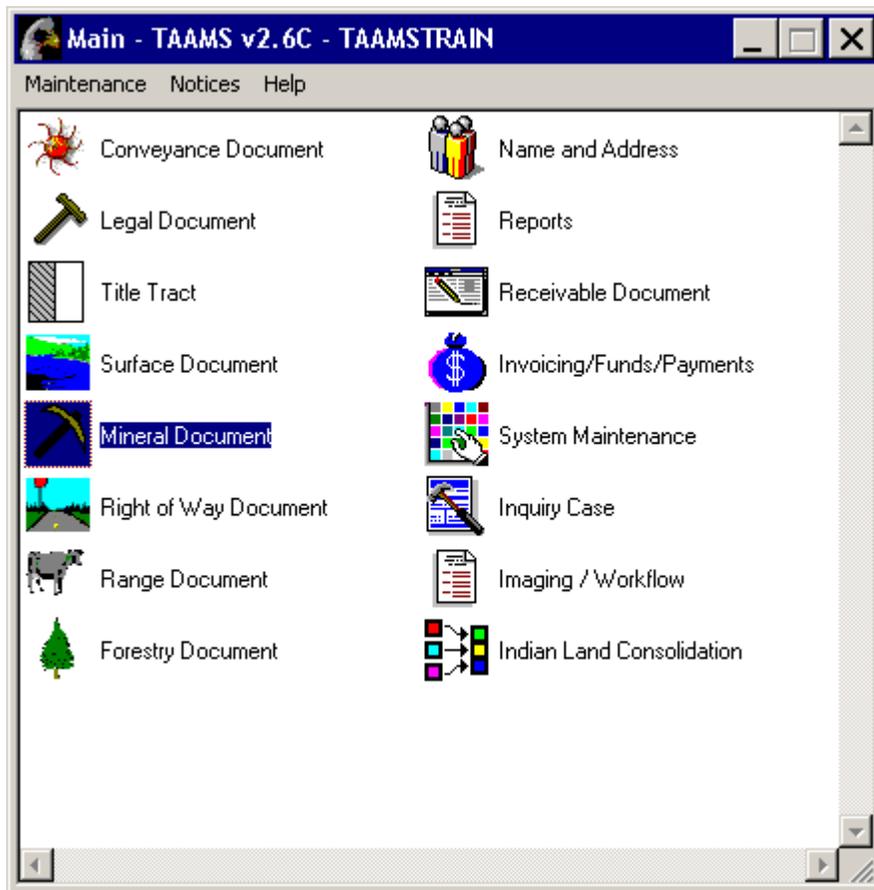
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MODULE TOOLBAR OPENS

Processing Steps & Notes
1. Click "Retrieve"

"DOCUMENT ID PROMPTER" OPENS
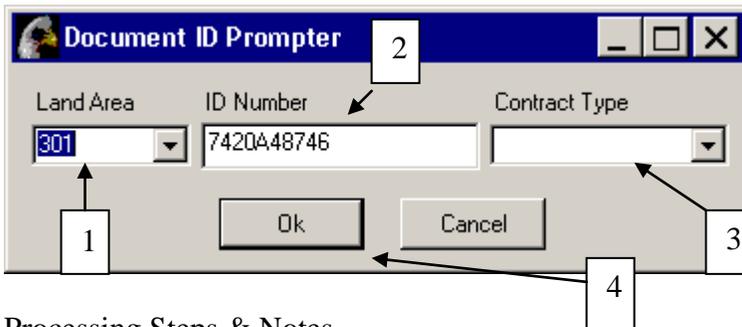
Processing Steps & Notes
1. Enter "Land Area"
2. Enter Document "ID Number"
3. "Contract Type" is not required
4. Click "OK"

"DOCUMENT TOOLBAR" OPENS

Processing Steps & Notes
1. Click on "Payments" button to review payment term information

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"PAYMENT TERMS" SCREEN OPENS

Processing Steps & Notes
1. Select/highlight Tract Rate Terms which contains the erroneous payment information
    a. Verify information is incorrect as it currently shows
2. If Term is incorrect, Click on "Void/Expire Payment Term" button
    a. Add new, correct payment terms as needed
    b. See TAAMS Training Manual for details on establishing Payment Terms

POP UP MESSAGE – improper authority

Processing Steps & Notes
1. This pop up message will display if you lack the authority to void a payment term
2. Click "OK"
3. Forward issue to Supervisor or Lead with proper authority to void the erroneous payment term

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POP UP MESSAGE – proper authority

Approval To Continue ✕

ⓘ Voiding a payment term will void all invoices generated for this item, do you wish to continue?

2 ────────→ [Yes]   [No] ←──────── 2a
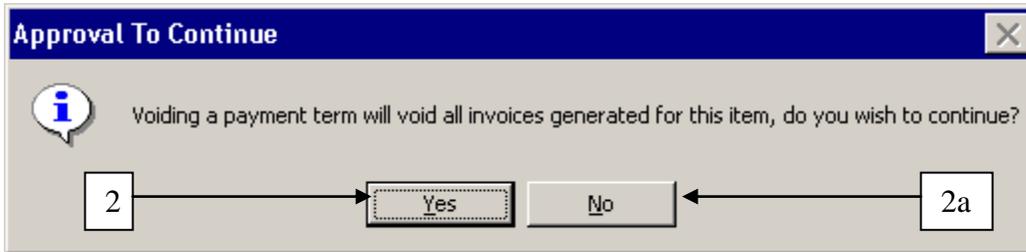
Processing Steps & Notes
1. Verify that you wish to void all invoices generated for this item
   a. Confirm by research of lease contract that payment term is incorrect
   b. This will void the current invoice
   c. This will void the payment term so no future invoices will generate
2. Once confirmed, Click "YES"
   a. If payment term is correct or can be corrected, Click "NO" and you are taken back to the "Payments" screen

POP UP MESSAGE

Message Display ✕

ⓘ An invoice cannot be voided if it has had receipts applied against it or was previously voided.

[OK] ←──────── 3
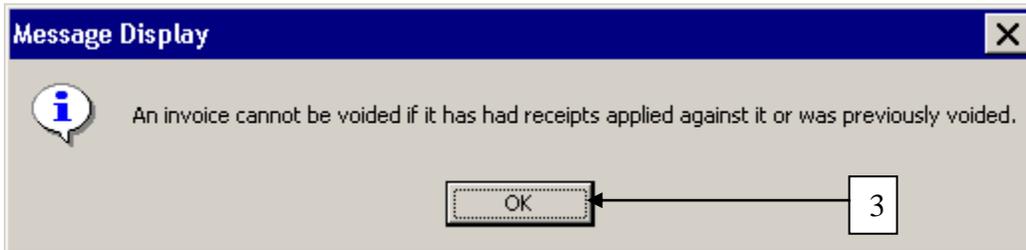
Processing Steps & Notes
1. Invoices that were previously paid through this document cannot be voided. Notify program staff that the invoice has already been paid, and confirm instructions. Request program staff to notify the supervisor if further action needs to be taken regarding the invoice.
2. The payment information will remain associated with these invoices
3. Click "OK"

POP UP MESSAGE

Message Display ✕

ⓘ Your request was submitted successfully.

[OK] ←──────── 2

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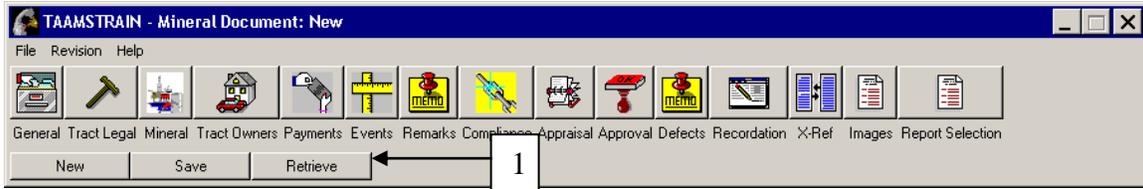| Part 52	Real Estate Services
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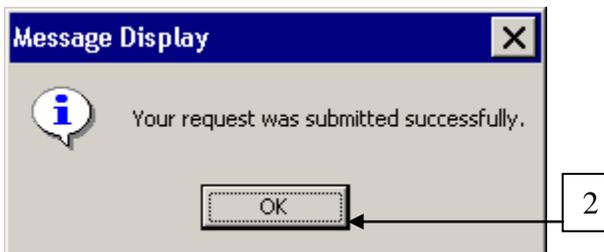
Processing Steps & Notes
1. The payment term has been successfully voided
2. Click "OK"

"PAYMENT TERMS" SCREEN REOPENS
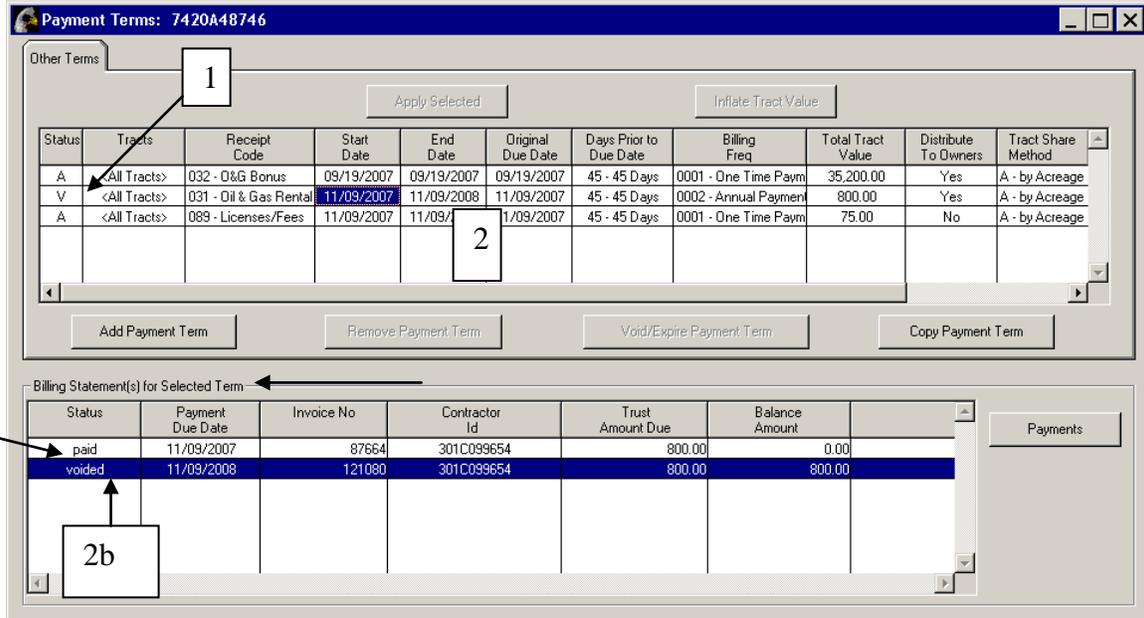
Processing Steps & Notes
1. "V" (void) appears in "Status" column
2. Under "Billing Statements(s) for Selected Term"
   a. Previously "paid" invoices remain with a "paid" in "Status" column
   b. Previously "Billed" (invoice generated) payment terms show "voided" in "Status" column
   c. All "future" payment terms are removed
      i. Payment lines for 2009, 2010, 2011 no longer appear under "Billing Statements(s) for Selected Term"

Processing Steps & Notes
1. Click "Save"
2. Close toolbar

With the implementation of TAAMS V2.6.5 in February of 2009 there were some additional items added to the Payment Terms screen.

#09-28
New

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"PAYMENT TERMS" SCREEN OPENS
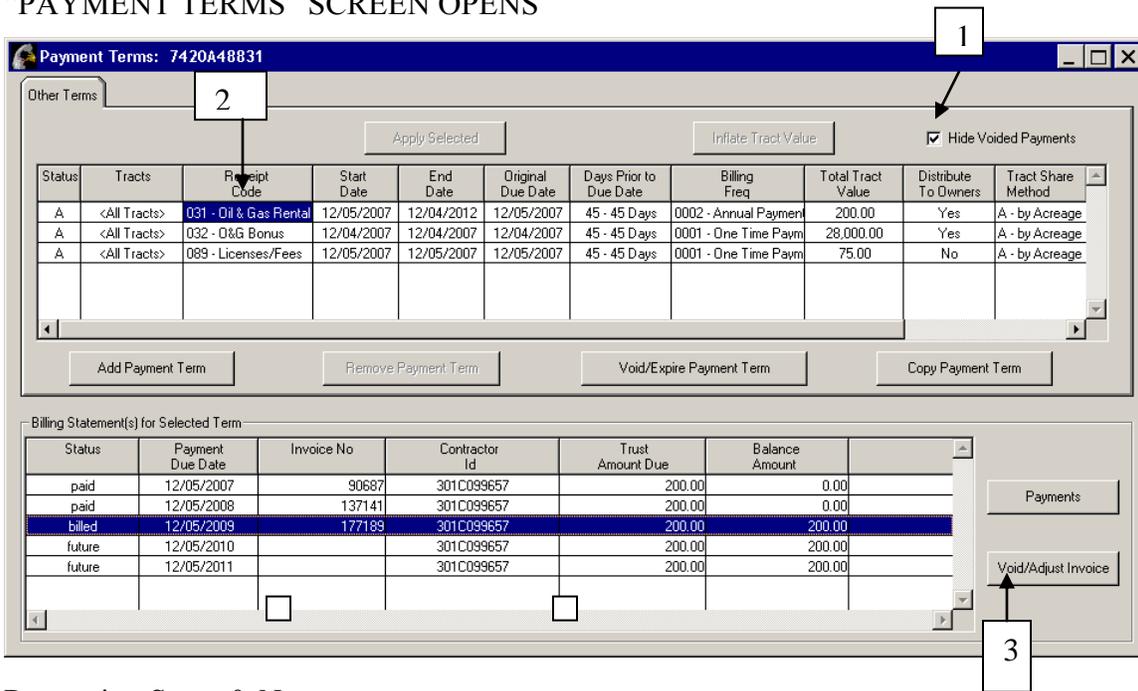
Processing Steps & Notes
1. A check box was added on the Payments screen that allows a user to "hide" all voided payments or display them by checking or un-checking the button
2. Select/highlight Tract Rate Terms which contains the erroneous payment information
   a. Verify information is incorrect as it currently shows
   b. Determine if Terms or Billing information is incorrect
3. If Billing information is incorrect, click on "Void/Adjust Invoice"
   a. This will allow you to re-invoice for the billed items
   b. "Approval To Continue" box opens
   c. Click "YES" to re-invoice
   d. This can be used to re-invoice when a Fee/Trust ownership change has taken place or a Direct Pay or Owner Use change has taken place which has affected the Trust Amount Due

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4. The incorrect Billing information is "voided" and a new line is created with the adjusted information showing "future" as the billing status
   a. If needed, the new invoice can be generated through the Encumbrance Query option
   b. If the due date is in the past and the payment is still due, you must manually generate the invoice through the Encumbrance Query option, print the invoice and mail/deliver to the contractor

END OF PROCESS 3.B. – VOIDING INVALID INVOICES

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C. Working Actual Past Due or Deficient Amounts Due

Process Overview – Working Actual Past Due or Deficient Amounts Due

Step 1: 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 2: 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 ***Step 1*** in the amount due on the notice.

D. Working Zero Check Records

With the release of TAAMS v2.6.5, an option is now available by which Zero Check Records can now be manually "Marked Processed".

Zero Check Records are a non-monetary item that has been submitted to Lockbox. The Zero Check Records show up in the Check Matching screen as:
        Check Amount = $0.00
        Direct Pay Amount = $0.00 or $x.xx
        Unmatched Amount = $0.00
        Pending Match Amount = $0.00

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Example:

Process – Working Zero Check Records

- BIA Agency Trust Staff is responsible for researching the check record within 48 hours of receipt
- BIA Agency staff opens the check record image to determine the type of documents that have been sent to Lockbox:
  Examples: Invoice, payment coupon, check copy, cancelled check, letter, etc
- BIA Agency staff then determines if the submitted documents are related to a contract.
- If not related to a contract then BIA Agency staff inserts the comment "OST – Please Mark Processed" into the check record comments.
- If submitted documents are related to a contract, BIA Agency staff must determine contract status.
    1. Payment past due = send another invoice
    2. Direct Pay Invoice Not Signed = Request Proof of Payment (signed invoice, cancelled check, etc)
    3. Letter or other indication that payment was made Direct = Request Proof of Payment
    4. Payment shows Paid = Check Comment: "OST – Please Mark Processed"

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5. If dollar amount shows in the Direct Pay column, submit request to Lockbox Liaison for TAAMS Help Desk to Mark Processed. Add comment "CGI – Please Mark Processed"*
6. Other – contact Regional Lockbox Liaison for assistance & instruction

Zero Check Records which are accepted as Proof of Payment may also require that the Invoice Record be marked "Paid". This will be discovered by determining the billing status of the current payment term.

The functionality of manually marking check records as processed, does not mark the TAAMS invoice record as paid; it only clears the check record from the outstanding checks query.

* will be in effect until V2.7 release, then OST will be able to Mark Processed

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

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS

In Reply Refer to: December 8, 20__
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.

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.

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Appendix A

Note: At time of publication, this appendix was in draft. Please refer to VOL 1 of OST's
DOP, Section II – receipting – Process II

PROCESS II   Process Payments Using a BSD Pay File

The BSD Payments Program utilizes an Excel spreadsheet to post
TFAS accounts when a payment received cannot be matched to a
TAAMS invoice and automatically distributed; e.g. land sale
proceeds. **This method of providing posting instructions is
appropriate when the funds will be distributed to five or more
TFAS accounts.**

Step 1   Receive a BSD Pay file from BIA.

OST Field Operations staff will:

No.	Instructions
1.	Receive TAAMS Check Worksheet(s) and electronic and hardcopy versions of an Excel spreadsheet from BIA staff. More than one Check Worksheet can be included on a single spreadsheet as long as the worksheets have the same receipt code. (Illustrations #1 and #2)
2.	Save the electronic spreadsheet to the appropriate folder. See Appendix D for instructions on mapping to and accessing the folder.
3.	Prepare a fax cover sheet that indicates the file name that will be used to post the transactions.
4.	Fax the following to DTFA Control Desk: a) Fax cover sheet. b) Check Worksheet(s). c) Copy of signed Excel spreadsheet. d) Supporting documents, if any.

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Illustration #1 – TAAMS Trust Funds Receivable Check Worksheet

Trust Funds Receivable Check Worksheet

Ascent Operating, LP
4965 Preston Park Blvd., Suite 800
Plano TX 75093

Capital One
313 Carondelet Street – 13th Floor
New Orleans LA 70130

CHECK NO.
0738111

DATE
08/26/08

AMOUNT
****$3,106.39

***************3,106 Dollars and 39 Cents

PAY TO THE ORDER OF
EASTERN OK REGIONAL OFF 0449
BIA FOR LOTTIE GIBSON GLENN
P O BOX 91066
PRESCOTT   AZ 86304-9116

⑈0738111⑈ ⑆065000090⑆ 2080334268⑈

Check Rec: 107964   Keyed Name: ASCENT OPERATING LP   CT Num: CT08G372341
                                                                       Posting Date: 08/26/2008

EASTERN OKLAHOMA REGIONAL OFFICE

Account Number: _____

Account Name: _____

Lease Number: _____

Allotment Number: _____

Receipt Code/Desc: ____ _____

Comment: _____
_____
_____

Authorized Signature: _____ Date: _____

Illustration #2 – BSD Pay Excel Spreadsheet

Agency Name

Submitter

Date

A	B	C	D	E	F	G
Account Number	Name	Amount	Explanation 1	Explanation 2	Explanation 3	Explanation 4
123U123456	Rod Stewart	23.00	CT10A123456 12/12/2006 123456	1233456789 Columbia Records	021 T 1223	62
234U987654	Diana Krall	256.00	CT10A123456 12/12/2006 123456	1233456789 Columbia Records	021 T 1223	62
457U112233	Mike Buble	45.32	CT10A123456 12/12/2006 123456	1233456789 Columbia Records	021 T 1223	62

Instructions

Required – Col A	Account Number: Must be the same number that is in TFAS. New set ups must be submitted with the posting request.
Required – Col B	Name: Name of account holder. The entire name must be in one cell. Do not separate first and last name by a comma.
Required – Col C	Amount: The amount must be a value with only two decimal places. The amount cannot be a formula (1000*0.0034567 is not acceptable).
Required – Col D	"CT" document number, deposit date, and check record number in the format provided in this example. Separate the data with 2 spaces; do not use commas.
Optional – Col E	Contract ID number and payee.
Optional – Col F	Allotment number.
Optional – Col G	Receipt code. All line items on one spreadsheet must have the same receipt code.
Must leave last row blank.	

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Step 2   Review the BSD Pay file for accuracy and completeness.

DTFA/BIC/Accounting Technician will:

No.	Instructions
1.	Pick up the batch from the DTFA Control Desk. Ensure the documentation includes the following: a) Fax cover sheet. b) Check Worksheet(s). c) Copy of signed Excel spreadsheet. d) Supporting documents.

2.	Access the TAAMS Check Query screen for each check record.
	a) Double click on Invoicing/Funds/Payments in the TAAMS main menu. (Illustration #3)
	b) Double click on Query (Invoices/Checks). (Illustration #4)
	c) Single click on Checks. (Illustration #5)
	   i. Office – All null fields.
	   ii. Check Status – All null fields.
	   iii. Enter Check Record No.
	   iv. Click "Search". The Check Query Results will appear.
	d) Verify that the check has an unallocated amount. (Illustration #6)
	e) Print the TAAMS Check Query Results screen and include with the batch.

3.	Retrieve the BSD Pay file from the appropriate folder.
4.	Review the completed TAAMS Check Worksheet(s) for the following: (Illustration #1) a) Account numbers, names, and amounts are legible and complete. b) Total amounts in the Description section and the amounts per the Check Worksheets agree. c) Receipt codes are identified. d) Grand totals between receipt documents and payments agree. e) Check amounts are fully distributed on the worksheets. f) Ensure the Check Worksheets have been signed and dated by the BIA approver. g) Verify the transaction total in the batch (by name and amount) matches the TAAMS check displayed.
5.	Review the Excel spreadsheet for the following: a) Account numbers and names. b) Amounts. c) CT numbers and dates. d) All explanation fields including check record number.

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	e) Receipt codes. f) Format. (Illustration #2) • Explanation Line columns. Fill in with CT number, date, and check record number. There can be up to four additional explanation fields, but there must be at least one. Explanations are limited to 50 characters. • The last data row must be followed by a blank row. The blank row tells the program that the previous row was the last data set that needs to be posted. • The spreadsheet cannot have blank lines within the data set. For example, there cannot be 10 rows of data, followed by a blank row, followed by a new data set. • The only cell that can contain a formula is the "total" at the bottom of the sheet. • The spreadsheet has been signed and dated by BIA.
6.	If the Check Worksheet(s) or Excel spreadsheet is inaccurate or missing required information, contact OST Field Operations staff immediately to provide changes by their close of business. See "Resolve an error in the batch if required" instructions that follow**.**

Resolve an error if required.

DTFA/BIC/Accounting Technician will:

No.	Instructions
1.	E-mail OST Field Operations at the appropriate field location that an error has been identified.

OST Field Operations staff will:

No.	Instructions
1.	Request BIA to resolve the error and provide revised documents.
2.	Notify DTFA/BIC when the error has been corrected.
3.	Save a revised BSD Pay file to the appropriate folder.
4.	Re-submit any revised documentation to the DTFA Control Desk.

DTFA/BIC will:

No.	Instructions
1.	Retrieve corrected BSD Pay file from the folder and documentation from the DTFA Control Desk.

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2.	Begin at **Step 2 Instruction 4** again until error is resolved.

Illustration #3 – TAAMS Main Menu
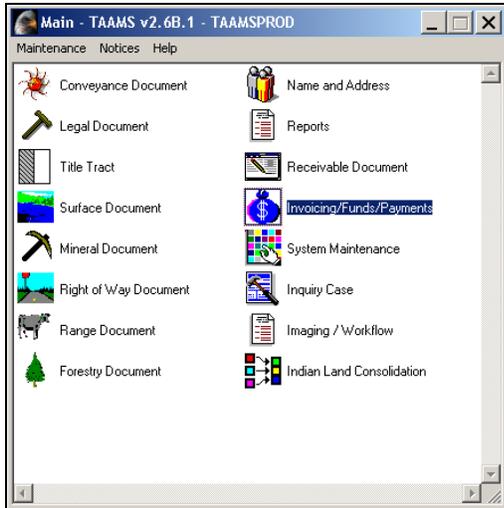
Illustration #4 – TAAMS Invoicing/Funds/Payments Menu
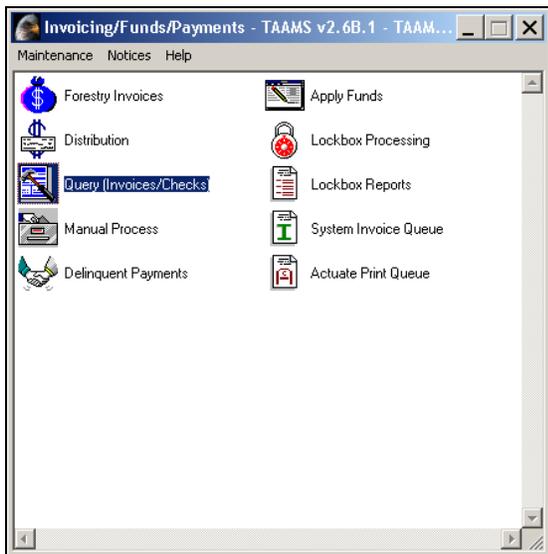
Illustration #5 – TAAMS Query Checks

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Illustration #6 – TAAMS Check Query Results

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Step 3   Run a BSD Payments Program pre-edit and post the payment.

<u>DTFA/BIC/Accounting Technician will:</u>

No.	Instructions

1.	Access the BSD Payments Program and import the Excel spreadsheet.
	a) Note the total records and total amount.
	b) The program will compare the imported file against TFAS data and create the following documents:
	   i. Edit_Results.doc that includes closed TFAS accounts and accounts not in TFAS
	   ii. Edit_NameComparison.doc that compares TFAS names to input names. (Illustration #7)
	These files are stored on the Income Collection shared drive.

2.	If a closed or missing TFAS account is noted, return to **Step 2 Instruction 4** to resolve the problem.
3.	If a significant discrepancy is noted between a TFAS and input name, return to **Step 2 Instruction 4** to resolve the problem. Note: A significant discrepancy is defined as an account holder name difference that the reviewer believes may cause an erroneous distribution. For example, Mary Smith compared to Mary Ann Smith may be deemed insignificant; while Mary Smith compared to Alice Smith may be deemed significant.
4.	Append the input file to the work file and transfer to the OST Network.
5.	Print the Network Batch Summary and verify the batch ID is listed.
6.	Sign and date the blotter.
7.	Deliver the batch to the BIC Accountant for TAAMS update.

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Illustration #7 – Edit_NameComparison.doc

```
              NAME COMPARISON – TFAS  VS  INPUT   2/5/2009

ACCOUNT    INPUT NAME                TFAS LONG NAME/SHORT NAME
     STATUS
----------------------------------------------------------------------

100U012345  MARY SMITH              MARY ANN SMITH              OPEN
                                    MARY^SMITH


100U456789  HERBERT L. BROWN        HERBERT LYNN BROWN         OPEN
                                    HERBERT^BROWN


100U234598  JANICE GREEN            JANICE (STAR) GREEN              OPEN
                                    JANICE^GREEN
```

Step 4   Enter the posting reference in the TAAMS check record.

DTFA/BIC/Accountant will:

No.	Instructions
1.	The same day, access the TAAMS check record to enter the posting reference.
	a) Double click on Invoicing/Funds/Payments in the TAAMS main menu. (Illustration #3)
	b) Double click on Lockbox Processing. (Illustration #8)
	c) Single click on Check Selection. (Illustration #9)
	i. Office – All null fields.
	ii. Process Status – Null field.
	iii. Check Record No. – Enter the check record number.
	iv. Check Status – All null fields.
	v. Click "Search".
	vi. Click "OK" in the pop-up window.
	vii. Close the Check Selection menu.
	d) Single click Check Posting. (Illustration #10)
	i. Highlight the check record line and click "Action".
	ii. Click "Adjust Check Balance".
	iii. Note the "Check Amount Left to Allocate" field displays an amount greater than $0.
	e) Enter the posting reference in the CSS Reference and Comment fields, including the date, M for manual posting

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		and ZY in the following format: mm/dd/yyyy M ZY Batch No. (Illustration #11) i. Copy and paste the posting reference into the Comment field. ii. Click "Apply". The Check Actions screen will appear. iii. Ensure the Check Amount Left to Allocate is $0.00.
	2.	Deliver the batch to the BIC Accounting Technician.

DTFA/BIC/Accounting Technician will:

No.	Instructions
1.	The same day, retrieve the batch from the BIC Accountant and place the batch on holdover.
2.	The following day, take the batch off holdover.
3.	Verify the amount posted correctly in TFAS.
4.	Print the TFAS TRB screen.
5.	Update the blotter as follows: a) System-generated ZY batch number. b) Beginning transaction number. c) Ending transaction number.
6.	Sign and date the blotter.
7.	Return the batch to the BIC Accountant.

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DTFA/BIC/Accountant will:

No.	Instructions
1.	Access the TAAMS check record to enter the posting reference number. a) Repeat **Instructions 1.a) through 1.d)i.** (Illustrations #8 through #10) b) Click on the top line in Remarks. (Illustration #12) i. Insert the ZY number in the posting reference in the following format: mm/dd/yyyy M ZY123 Batch No. ii. Click "Apply".
2.	Verify the total from all updates equals the batch total from the Posting Journal.
3.	Return the batch to the Accounting Technician who prepared the batch.

Illustration #8 – TAAMS Invoicing/Funds/Payments Menu

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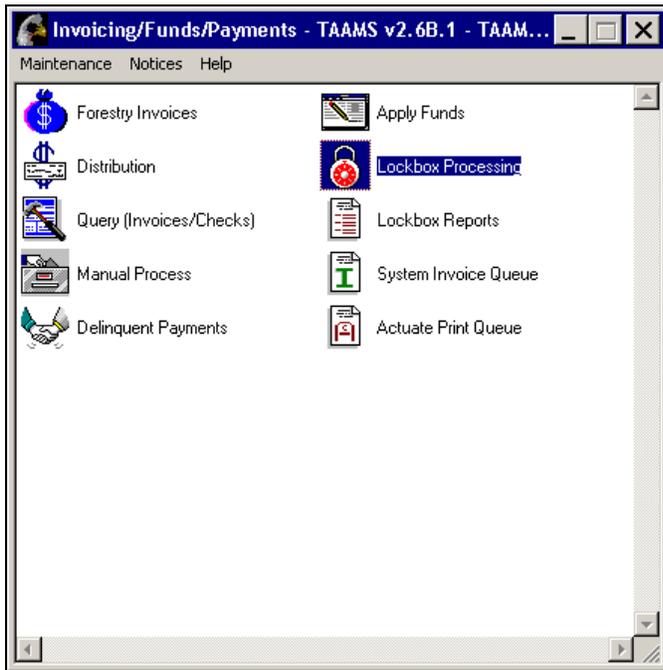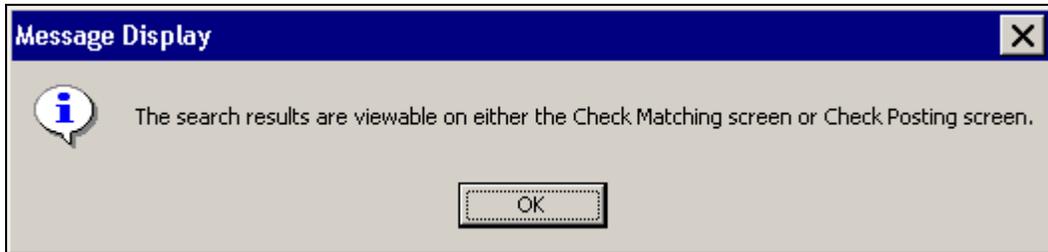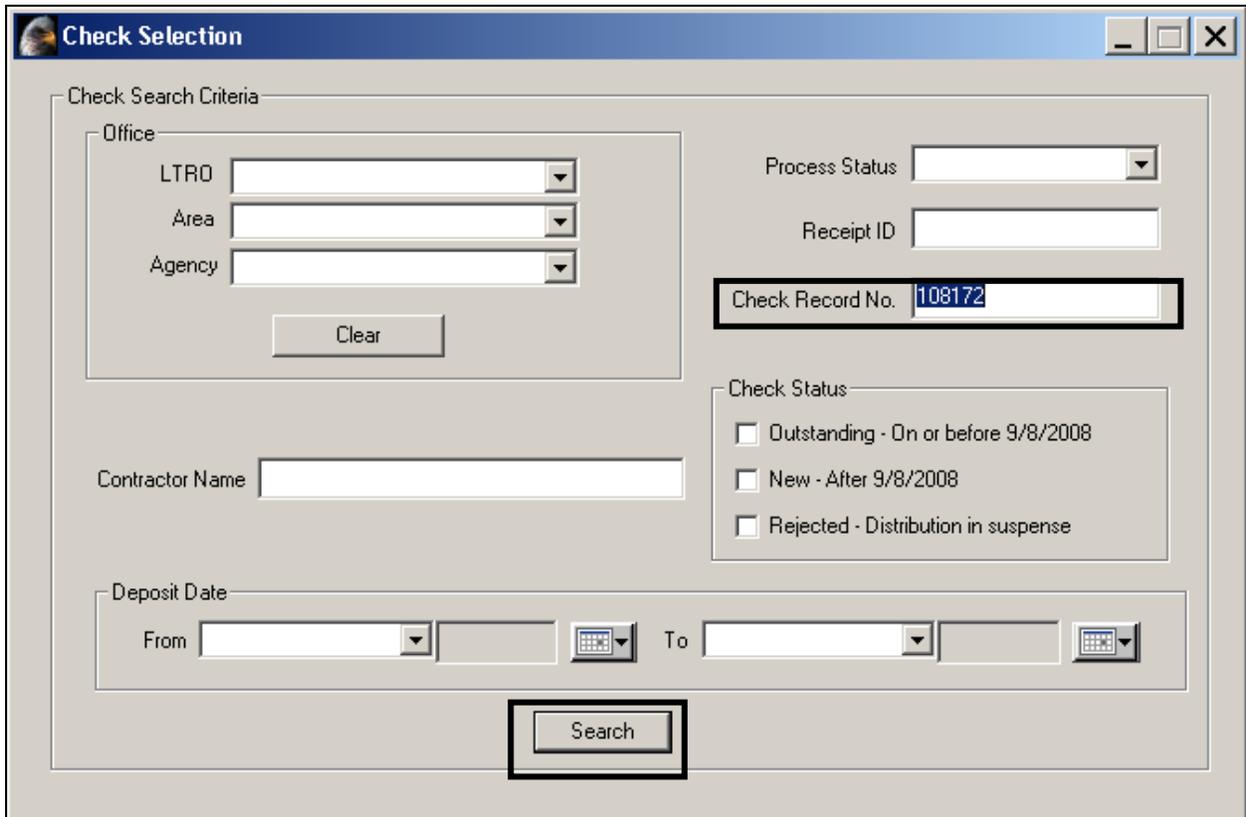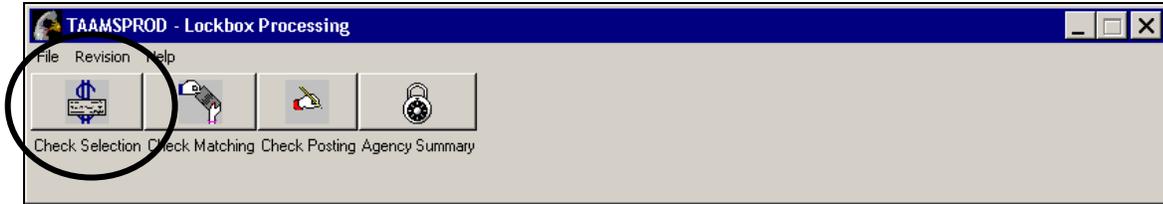**Illustration #9 – TAAMS Check Selection**

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Illustration #10 – TAAMS Check Posting

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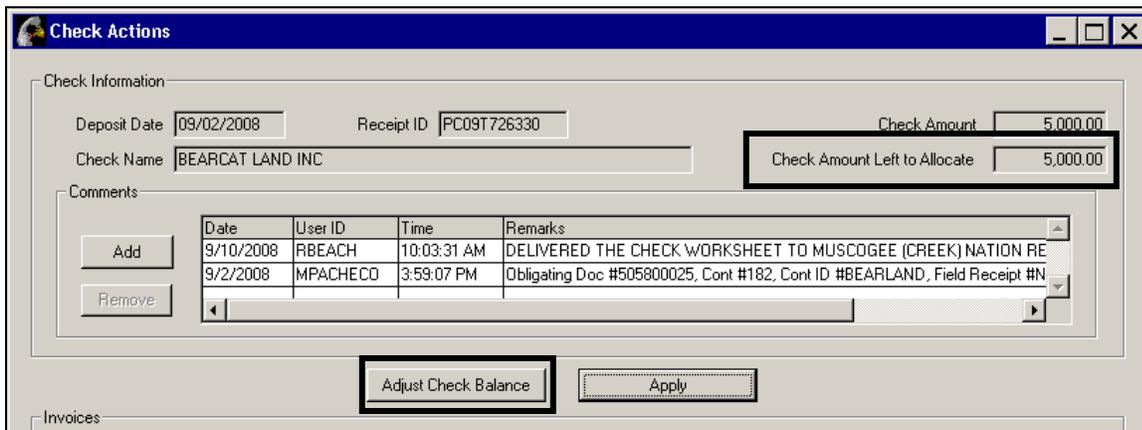
Illustration #11 – TAAMS Check Adjustment

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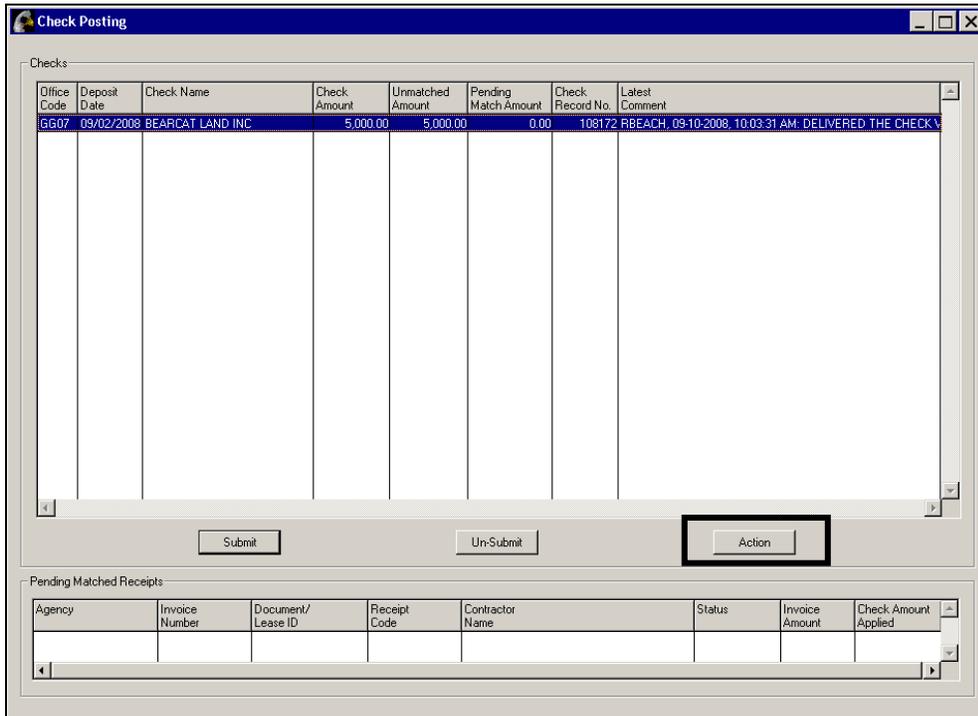
Illustration #12 – TAAMS Check Actions

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Step 5   Ensure the batch is complete for future reference.

DTFA/BIC Accounting Technician will:

No.	Instructions

1.	Access the TAAMS Check Query screen for a specific check record.
	a) Double click on Invoicing/Funds/Payments in the TAAMS main menu. (Illustration #3)
	b) Double click on Query (Invoices/Checks). (Illustration #4)
	c) Single click on Checks. (Illustration #5)
	    i. Office – All null fields.
	    ii. Check Status – All null fields.
	    iii. Enter Check Record No.
	    iv. Click "Search". The Check Query Results will appear.
	d) Verify that the check record has been updated. (Illustration #13)

2.	Note on the batch that TAAMS has been updated.
3.	Return the batch to the DTFA Control Desk.

Illustration #13 – TAAMS Check Query Results (after posting reference completed)

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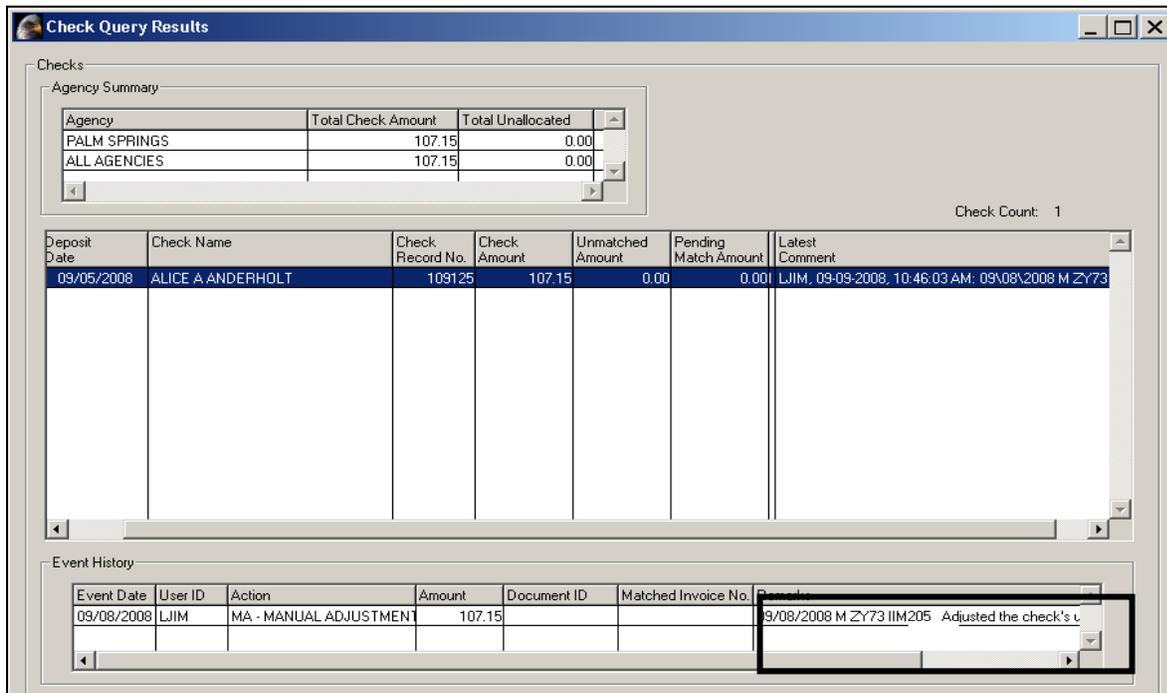
1.6   **Roles and Responsibilities**

    A. **Director, Bureau of Indian Affairs (BIA).** The BIA Director is responsible for the development of National Policy affecting Indian lands.

    B. **Deputy Bureau Director, Field Operations, BIA.** The BIA Deputy Bureau Director of Field Operations is responsible for overseeing the Regional Directors and dissemination of policy to them.

    C. **Deputy Bureau Director, Trust Services, BIA.** 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. **Regional Directors, BIA.** 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.