INDIAN AFFAIRS
DIRECTIVES TRANSMITTAL SHEET

(Modified DI-416)

DOCUMENT IDENTIFICATION NUMBER	SUBJECT	RELEASE NUMBER
NPM-TRUS-21	Monitoring and Clearing of	08-12
FOR FURTHER INFORMATION	Invoices and Trust Fund Payments	**DATE**
Trust Services	From Trust Funds Receivables	FEB 19 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.

Jerry Gidner
Director, Bureau of Indian Affairs

FILING INSTRUCTIONS:

Remove: None   Insert: NPM-TRUS-21

United States Department of the Interior

BUREAU OF INDIAN AFFAIRS
Washington, D.C. 20240

TAKE PRIDE
IN AMERICA

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.

#08-12
New

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.

   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.

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 1   Procedure 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:

***Step 1*:**   Review TFR outstanding invoices.

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

- In the "Search Invoices" section, click on 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.

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

TFR LOCKBOX
TFR Invoice Query Results

Return to Menu / New Search

CROW CREEK AGENCY

Invoice Num	Contractor Name	Encumbrance ID	Document ID	Invoice Amt Check Amt	Due Date Deposit Date	Printed?	Images
1 56371	DAN HALL	000148700035	AA143421002410611 AU	1,562.50	01 Nov 2007		Invoice
2 56380	TIGH COWAN	000171000031	AA143421001130611 AU	8,834.10	01 Nov 2007		Invoice
3 56389	ORIN VOICE	000172100072	AA143421003450611 AU	690.00	01 Nov 2007		Invoice
4 56429	ORIN VOICE	000209100012	AA143421003630611 AU	87.50	01 Nov 2007		Invoice
5 56432	DON MCGHEE	000214000002	AA143421002180611 AU	1,596.40	01 Nov 2007		Invoice
6 56823	CROW CREEK SIOUX TRIBE	000471500040	AA143421002460308 AU	209.01	01 Nov 2007		Invoice
7 56825	CROW CREEK SIOUX TRIBE	000471500044	AA143421004150510 AU	198.85	01 Nov 2007		Invoice
8 65068	CROW CREEK SIOUX TRIBE	000015701199	AA143420000210712 GP	2,697.30	01 Nov 2007	Yes	Invoice
9 68123	CLAYTON KNIPPLING	000004237130	AA143421004470712 AU	2,096.00	01 Nov 2007	Yes	Invoice
10 68182	DON BINDER	000020500605	AA143421002840712 AU	2,440.00	01 Nov 2007	No	Invoice
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

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

TFR LOCKBOX
TFR Invoice Query Results

Return to Menu / New Search

CONCHO AGENCY

Invoice Num	Contractor Name	Encumbrance ID	Document ID	Invoice Amt Check Amt	Due Date Deposit Date	Printed?	Images
	KATT ELDER						
26 71178	DONALD VOGT	000008600353	BB058010000013931 AU	850.00	01 Jan 2008	Yes	Invoice
27 71179	DARREL BARTEL	000008600362	BB058010000013937 AU	1,085.00	01 Jan 2008	Yes	Invoice
28 71180	DON LAKE	000008600365	BB058010000013947 AU	0.00	01 Jan 2008	Yes	Invoice
29 71188	DARREN SCOTT	000008600456	BB058010000013811 AU	860.00	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.

		CONCHO AGENCY						
Rec Num	Check Deposit Date	Contractor Name	CT Num	Status	Batch Number	Check Amt	Images	
6	24936 19 Jan 2007	DARREL MOSBURG	CT01B543878	Posted	ZY208 01/19/2007 ~	3,651.43	Check	Action | History
		DARREL MOSBURG - Lease - 8010133880610 (Auto Match 01/19/2007)		Inv - 23849 Due - 01 Jan 2007	Org. 3,651.43 Paid 3,651.43		Invoice	
7	24951 19 Jan 2007	DARRELL MOSBURG	CT01B543878	Posted	Direct Payment	0.00	Check	Action | History
		DARRELL MOSBURG - Lease - 8010132700509 (Auto Match 01/19/2007)		Inv - 24687 Due - 01 Jan 2007	Org. 0.00 Paid 0.00		Invoice	
8	24935 19 Jan 2007	TROY DENIWALT	CT01B543878	Posted	ZY208	2,200.00	Check	Action | History

Step 2: 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 Menu		**TFR LOCKBOX** **TFR Invoice Query Results**				New Search	
CROW CREEK AGENCY							
Invoice Num	Contractor Name	Encumbrance ID	Document ID	Invoice Amt Check Amt	Due Date Deposit Date	Printed?	Images
1 56371	DAN HALL	000148700035	AA143421002410611 AU	1,562.50	01 Nov 2007		Invoice
2 56380	TIGH COWAN	000171000031	AA143421001130611 AU	8,834.10	01 Nov 2007		Invoice
3 56389	ORIN VOICE	000172100072	AA143421003450611 AU	690.00	01 Nov 2007		Invoice
4 56429	ORIN VOICE	000209100012	AA143421003630611 AU	87.50	01 Nov 2007		Invoice
5 56432	DON MCGHEE	000214000002	AA143421002180611 AU	1,596.40	01 Nov 2007		Invoice
6 56823	CROW CREEK SIOUX TRIBE	000471500040	AA143421002460308 AU	209.01	01 Nov 2007		Invoice
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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.

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

- Click "Run Report".

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

- 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.

- 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/Deposit Date	64677 - 04 Dec 2007	View History Status -New
Check Name	Randal Three Irons (CROW AGENCY)	
Amount Paid	50.00	
CT	PC12T722458	
OST Batch		
Check Amount Left To Allocate	50.00	
Comments		

Invoice Num	Contractor Name	Agency	Lease	Invoiced Amount	TFAS Amt Due	Due Date	
71348	BASE RANDALL	CONCHO AGENCY	8010000013952 AU	600.00	600.00	01/01/2008	Invoice
50917	CLARENCE THREE IRONS	CROW AGENCY	2021180930611 SC	51.13	50.24	11/01/2006	Invoice
34973	CLARENCE THREE IRONS	CROW AGENCY	2021180930611 AU	921.90	921.90	11/01/2006	Invoice
62932	HAZEL THREE STARS	FORT PECK AGENCY	2062005288812 HS	24.00	24.00	11/15/2007	Invoice
53562	JOSELYN THREE IRONS	CROW AGENCY	2021177380510 AU	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
6245	RANDAL COLLMER	ANADARKO AGENCY	8020504100708 AU	0.00	0.00	07/01/2007	Invoice

Add Comment   Search Invoices   Close

- 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. This should occur very infrequently. See OST Field Operations staff for assistance.

  - Locate the contractor identifier (ID) (xxxCxxxxxx 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.

- Paste the copy in the body of the email request.

- Forward the request to a Lockbox Liaison for review.

- 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

	Dori Duran/PHOENIX/BIA/DOI 11/16/2007 03:17 PM	To	Loren B Jim/OST/OS/DOI@DOI, Daniel Cox/OST/OS/DOI@DOI, Leslie Estes/OST/OS/DOI@DOI
		cc	Clayton Seoutewa/ALBUQUERQUE/BIA/DOI@BIA, Steve Davis/ALBUQUERQUE/BIA/DOI@BIA, Peter Fredericks/OST/OS/DOI@DOI
		bcc	
		Subject	Void Invoice

Loren/Daniel/Les -

Per the agencies request, please void the below listed invoices, once void is completed, please reply back to all listed on this e-mail. Thank you.

Dori Allen Duran
Lock Box Liaison
Southwest Region
505 816-1494
505 816-1319 Fax

----- Forwarded by Dori Duran/PHOENIX/BIA/DOI on 11/16/2007 03:14 PM -----

	Steve Davis/ALBUQUERQUE/BIA/ DOI 11/16/2007 03:13 PM	To	Dori Duran/PHOENIX/BIA/DOI@BIA, Peter Fredericks/OST/OS/DOI@DOI
		cc	Clayton Seoutewa/ALBUQUERQUE/BIA/DOI@BIA
		Subject	Outstanding invoices for Zuni

Dori,

I spoke to Rosetta Epaloose today, She asked me to send an E-mail to you,

Please void the attached invoices:

1	5037	ZUNI INDIAN	0003339000	MM707217985	1,637.0	21 Sep	Invoice
2		TRIBE	10	BS	0	2007	
3	555	CENTURYTEL OF THE	0020017	MM70721505576	2,000	26 Oct	Invoice
	79	SOUTHWEST, INC.	04275	9823 BS	.00	2007	

Please reply to all the individuals addressed on this e-mail.

Thanks

Steve

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

Step 3:   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 *Step 4* 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

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.

12072007_TA   11

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.

- 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".

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

- If payments for the agency were received and <u>deposited today</u>, proceed to **_Step 2_**.

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

Step 2:   Review checks deposited today.

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

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

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

- Click "Search LockBox Checks".

TFR LOCKBOX
TFR Check Query Results

Return to Menu | New Search | Print Worksheet

FORT PECK AGENCY

Rec Num	Check Deposit Date	Contractor Name	CT Num	Status	Batch Number	Check Amt	Images	
1 65824	05 Dec 2007	John Taflan	PC12T722470	New		95.63		Action | History
		Latest Comment - Obligating Doc #505647011, Cont #10°? 940812. POC: Lynette Boyd, Ph: 406.768.5112 - 12/05/2007 12:39 PM MDT (FBIVENS)		Matched				
2 65826	05 Dec 2007	John Taflan	PC12T722472	New		210.00		Action | History
		Latest Comment - Obligating Doc #505647013, Cont #108 060812, POC: Lynette Boyd, Ph: 406.768.5112 - 12/05/2007 12:40 PM MDT (FBIVENS)						
3 65825	05 Dec 2007	John Taflan	PC12T722471	New		150.00		Action | History
		Latest Comment - Obligating Doc #505647012, Cont #10? 406.768.5112 - 12/05/2007 12:40 PM MDT (FBIVENS)		Matched				
4 65823	05 Dec 2007	John Taflan	PC12T722469	New		464.63		Action | History
		Latest Comment - Obligating Doc #505647010, Cont #108 7030812. POC: Lynette Boyd, Ph: 406.768.5112 - 12/05/2007 12:38 PM MDT (FBIVENS)						
5 65827	05 Dec 2007	Werner Farms	PC12T722473	New		215.10		Action | History
		Latest Comment - Obligating Doc #505647024, Cont #1087170812, POC: Lynette Boyd, Ph: 406.768.5112 - 12/05/2007 12:41 PM MDT (FBIVENS)						
					Sub Total	1,135.36		

Processed --- 0.00   Open --- 1,135.36   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 **_Step 4_**.

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".

- 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 references are:

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

- Click "Run Report".

- 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.

- 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.

- 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.

- Click "Search Invoices".

- If there is not an outstanding TFR invoice, research TFR encumbrance records.

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

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

  - Click "Search Encumbrances".

- If the encumbrance record indicates that an invoice has not yet been generated, click "No" and OST will generate the invoice the next day so a match between the payment and the invoice can be completed. Proceed to **_Step 8_**.

  - 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.

    - Review information on the TAAMS contract payment terms screen:

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).

    - 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 *Step 5* 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 *Step 8*.

Step 5: 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).

Step 6: 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.

- 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 2 – 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 ***Step 8***.

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

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

Return to Menu			**TFR LOCKBOX**				New Search	
			Outstanding Checks Report/Process					
CHEYENNE RIVER AGENCY								
		Check Rec	Check Deposit Date	Contractor Name	CT Num	Check Amt	Status	Images
1	Action	65497	04 Dec 2007	DARREN DUCHENEAUX	CT12A339450	1,417.25	New	Check
	Latest Comment - I gave the wrong Special Deposit Account. The right account is 340S081116. - 12/05/2007 2:10 PM MDT (monal)							
2	Action	65498	04 Dec 2007	FANNY BREWER	CT12A339450	1,355.83	New	Check
	Latest Comment - Landsale. Paperwork submitted to Sonya Shaving, OFTM. - 12/05/2007 1:23 PM MDT (rlebeau)							

- Click "Add Comment".

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

- 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).

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.

Step 10:   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 Exhibit 3 – Sample SF-1034 and Form D-3 and Instructions – IIM Non-Scheduled Check or Direct Deposit Request).

Step 11:   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 issue-specific SDA. All funds to be posted to the issue-specific SDA account must be covered by the exception and supporting documentation.

Step 13:   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.lnk

2. Enter your User Name and Password and click "Logon".
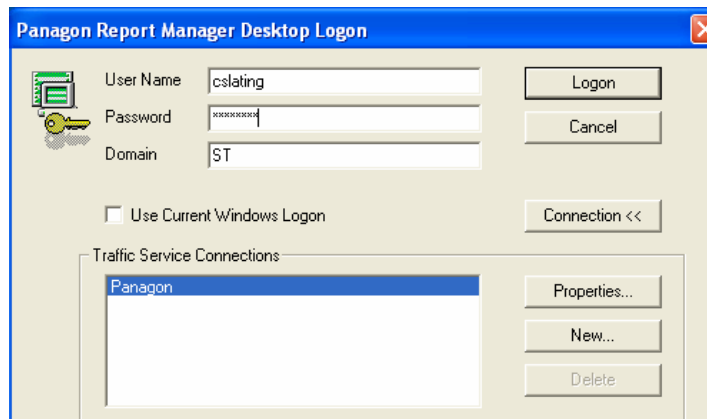
3. Click on "File" in the header and select "Open Document".

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.

The following report will display:

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.

NPM-TRUS-21
Release # 08-12

The following report will display:

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.

The following report will display:

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.

The following report will display:

Exhibit 2
Instructions for Completing Form SF-1081

Volume I DOP, Section III – Disbursing ▶ Section 3.3 Disbursing Document Preparation, Chapter III

PROCESS I How is a 1081 Transfer Processed?

FO/Staff:

Step 1 What source documents and information will be received from BIA to process a transfer from an IIM Account to another Government Agency such as BIA?

No.	Instructions

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.
	   ii. **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:
	       • Total Amount of Funds to be transferred.
	       • FFS accounting string
	   iii. Detailed explanation of funds or reference to attached supporting documents.
	   iv. Billing Agency Contact information.
	b) Supporting documents:
	   i. Schedule of Collection
	   ii. Collection Voucher - only when funds are Non Trust Funds.
	   iii. Lease or Agreement Number including allotment number or legal description.
	   iv. Documentation supporting the type of transaction such as the following:
	     - Encumbrance forms (e.g., Kennerly Letter, first and last page of a lease agreement or deed).
	     - SDA recommended action forms (i.e., research notes).
	     - Administrative error documentation.
	     - Other scenarios will be handled on a case by case basis.

2.	Date and time stamp the documents.
3.	If the source documents contain all pertinent information, go to **Step 2**.
4.	If the information listed in **Instruction 1** is not provided, the SF-1081 may not be processed. Resolve the deficiency with the submitter.

Illustration – SF 1081

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.

Funds to BIA from OST

STANDARD FORM 1081 Revised September 1982 Department of the Treasury I TFRM 2-2500	**VOUCHER AND SCHEDULE** **Of WITHDRAWALS AND CREDITS**

2) Date automatic

Transaction Date

3/8/2007

CHARGE AND CREDIT WILL BE REPORTED ON CUSTOMER
AGENCY STATEMENT OF TRANSACTIONS FOR
ACCOUNTING PERIOD ENDING

1) Enter current month

Oct 2006

Document No.

3) Auto Generate

CUSTOMER AGENCY		BILLING AGENCY	
Agency Location Code (ALC)	Customer Agency Voucher No.	Agency Location Code (ALC)	
14 25 0001		14 20 0699	
DEPARTMENT Department of the Interior BUREAU Office of the Special Trustee ADDRESS 4400 Masthead St NE Albuquerque, NM 87109		DEPARTMENT DOI - Bureau of Indian Affairs BUREAU *(Enter Agency name and add.* ADDRESS	

4) Enter Agency Name and Address

SUMMARY		SUMMARY	
APPROPRIATION, FUND, OR RECEIPT SYMBOL	AMOUNT	APPROPRIATION, FUND, OR RECEIPT SYMBOL	AMOUNT
14X6039 **[owner ID] - [owner name]**	**$ 800.00**	*(Enter Accounting Code* for Reimbursable account)	$ 800.00

4) Enter Amount of Deposit - This will Automatically enter in all other areas.

(MUST AGREE WITH BILLING AGENCY TOTAL)	$ 800.00	(MUST AGREE WITH CUSTOMER AGENCY TOTAL)	TOTAL $ 800.00

Details of charges or reference to attached supporting documents

Administative/Statutory Fees as required by 25 CFR 162.2451

6) Enter Agency Reimbursement account

Paid by:	BARKLEY CO OF ARIZONA
Date of Deposit:	10/10/2006
CT No.:	CT10H543720
TFR Record No.:	7682
SF-2215 No.:	SF543720

7) Enter TFR data in required fields

CONTRACT INFO:
TAAMS CONTRACT NO.   (Enter Contract data)
Date Contract Approved:

8) Enter TAAMS Contract Info

9) Enter Preparers Name & Approved by Name

BILLING AGENCY CONTACT:
PREPARED BY: *(Enter preparers name)*   Concur:
APPROVED BY: **Melissa Soulier**   Superintendent, Fort Yuma Agency
TELEPHONE NO: **520/782-1202**

CERTIFICATION OF CUSTOMER OFFICE

I certify that the items listed herein are correct and proper for payment from and to the appropriation(s)

10) Signature by Agency Superintendent

(Date)	(Authorized administrative or certifying officer)
(Telephone No.)	

NSN 7540-00-634-4234
PREVIOUS EDITION NOT USABLE

1081-108

Exhibit 3
Sample SF-1034 and
Form D-3 and Instructions

		PUBLIC VOUCHERS FOR PURCHASES AND SERVICES OTHER THAN PERSONAL				VOUCHER NO. 7H63101-115

Standard Form 1034
Revised January 1980
Department of the Treasury
I TFRM 4-2000
1034-118

PUBLIC VOUCHERS FOR PURCHASES AND SERVICES OTHER THAN PERSONAL

VOUCHER NO.
7H63101-115

SCHEDULE NO.

U.S. DEPARTMENT, BUREAU OR ESTABLISHMENT AND LOCATION
U.S. Department of Interior
Bureau of Indian Affairs
Fort Yuma Agency
256 S. 2nd Ave.
Yuma, AZ   85364

DATE VOUCHER PREPARED
22-Feb-07

CONTRACT NUMBER AND DATE

REQUISITION NUMBER AND DATE

PAID BY

PAYEE'S NAME AND ADDRESS
Freschi Farms
P.O. BOX 5635
Yuma, AZ 85364-2471

DATE INVOICE RECEIVED

DISCOUNT TERMS

PAYEE'S ACCOUNT NUMBER

SHIPPED FROM   TO   WEIGHT   GOVERNMENT B/L NUMBER

NUMBER AND DATE OF ORDER	DATE OF DELIVERY OR SERVICE	ARTICLES OR SERVICES	QUAN-TITY	UNIT PRICE COST	PER	AMOUNT
		Paid by: Freschi Farms				$ 1,166.67
		Date of Deposit: 1/12/2007				
		CT No.: CT01H543868				
		TFR Record No.: 24595				
		SF-2215 No. SF543868				
		Prepared by: Alberta J. Solorio-Millard				
		(Payee must NOT use the space below)		TOTAL		$ 1,166.67

PAYMENT:
PROVISIONAL
COMPLETE
PARTIAL
FINAL
PROGRESS
ADVANCE

APPROVED FOR
BY *Robert Begy*
TITLE **ACTING SUPERINTENDENT FORT YUMA AGENCY**

EXCHANGE RATE

DIFFERENCES

Pursuant to authority vested in me, I certify that this voucher is correct and proper for payment.
2/22/07

(Date)   (Authorized Certifying Officer) 2

Fiduciary Trust Officer

(Title)

Accounting Classification

	CHECK NUMBER	ON ACCOUNT OF U.S. TREASURY	CHECK NUMBER	ON (Name of Bank)
	CASH	DATE	PAYEE	

1 When stated in foreign currency, insert name of currency. 2. If the ability to certify and authority to approve are combined in one person, one signature only is necessary; otherwise the approving officer will sign in the space provided, over his official title. 3 When a voucher is receipted in the name of a company or corporation, the name of the person writing the company or corporate name, as well as the capacity in which he signs, must appear. For example: "John Doe Company, per John Smith, Secretary", or "Treasurer" as the case may be.

PER *Rodney M. Uy*
TITLE *Fiduciary Trust Officer*

Previous edition usable

U.S. GOVERNMENT PRINTING OFFICE:1986-0-491-248/20630

NSN 7540-00-634-4206

PRIVACY ACT STATEMENT
The information requested on this form is required under the provision of 31 U.S.C. 82b and 82c, for the purpose of disbursing Federal money. The information requested is to identify the particular creditor and the amounts to be paid. Failure to furnish this information will hinder discharge of the payment obligation.

FAX TO: 505/248-5700

IIM
NON-SCHEDULED
CHECK OR DIRECT DEPOSIT REQUEST
CSS EXCEPTION

D-3

(CASH - DISB)   Control ID: _____

ACCOUNT NO.: _____   ACCT NAME: _____

PAID PRINCIPAL: _____
                (Disbursement $ Amount)

INCOME: _____ (Used for Life Estates and Estates)
        (Disbursement $ Amount)

DISBURSEMENT CODE: Enter a code from the Disbursement codes list in ADMIN RR DCOD DC.
            Code #: _____ Description: _____

PAID TO TAX ID#: _____ NAME: _____
            (If ACH payment, enter the bank's ABA ACH Routing Number)
         OR enter the payee's Name & Address below (Each line is 36 characters).
         **IF YOU ENTERED "PAID TO TAX ID#", DO NOT COMPLETE NAME & ADDRESS
         LINES BELOW**

NAME: _____

ADDR: _____

ADDR: _____

ADDR: _____

PAID FOR TAX ID#: _____ Name: _____
            (Enter Tax ID only if a Name & Address record exists, otherwise enter NO ONE.)

PRODUCE CHECK Y/N: **Y for check   N   for ACH** (circle the appropriate code)
    EXPLANATION: _____
    (Enter document # for PV's, invoices, statements, etc. This explanation will appear on the check - Maximum 50 characters)

ASSET REFERENCE: BLANK   P#:   BLANK
TREAT AS INCOME: BLANK   INCLUDE 1099R Y/N: N
   FOR ACCRUALS: NO   DATE INCOME APPLIES: *

EXPANDED EXPLANATION (if needed – each line has a maximum of 50 characters)
            Line 1: _____
            Line 2: _____
            Line 3: _____
            Line 4: _____
**Must attach a notarized or DOI witnessed disbursement request, e.g., a Disbursement Authorization Form
OTFM 01-005 or letter.**

Prepared by: _____ Phone: _____ Date: ___/___/____

Pre-QA Approval: _____ Phone: _____ Date: ___/___/____

Entered by: _____ Batch #: _____ Tran #: _____

Post Verified by: _____ Phone: _____ Date: ___/___/____

Workticket Last Updated: 3/1/2002

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

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 not enter a PAID To Tax Id # above, enter the address where the check should be mailed.
PAID FOR TAX ID #	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".
/NAME	If you enter a Tax ID above, enter the name of the Paid For Party.
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 2 of 2
PREPARATION INSTRUCTIONS

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.

 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: 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

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

United States Department of the Interior

Bureau of Indian Affairs
Washington, D.C. 20240

MAY 2 3 2006

TO: All AS-IA/BIA Employees
           OST Employees

FROM: Director, Bureau of Indian Affairs
           Special Trustee for American Indians

SUBJECT: Policy for Assigning Individual Indian Money Account/Owner ID Numbers

This memorandum establishes the policy for assigning Individual Indian Money (IIM) account numbers and Bureau of Indian Affairs (BIA) identification (ID) numbers. This memorandum supersedes any previous directives regarding this practice.

All account/Owner ID numbers assigned after the date of this memorandum must be in compliance with this policy. All existing account/Owner ID numbers will be brought into compliance.

Superintendents/Field Representatives are responsible for the assignment of ID numbers for individuals that are enrolled in Tribes under their jurisdiction. The ID numbers must be entered into the appropriate system(s) of record within three business days of request. If there is not a Superintendent/Field Representatives assigned to the local agency, the Regional Office with jurisdiction is responsible.

Below are the formats for assigning numbers:
1. Categories: There are four categories of account/Owner IDs as illustrated in the following table.

Category No.	Category Descriptions	Resulting Numbers for OST and BIA		Agency Responsible for Assigning the Number
I	Individual with a *direct interest in trust or restricted land.*	IIM Account No.	BIA ID No.	BIA
II	Individuals with a *life estate, dower or curtsy, or homestead interest in trust or restricted land.*	IIM Account No.	BIA ID No	BIA
III	Individuals with proceeds resulting from *other agency income (i.e. Veterans Affairs or Social Security.)*	IIM Account No.	NA	Written non-delegable authorization from the Director, BIA
IV	Individuals with proceeds resulting from *per capita distributions from Tribal Trust Funds or Judgment Awards.*	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 the number format: 123U12345678		
123	=	3-digit numeric code-*Tribe Code or Land Area Code or Alaska Regional Corporation Codes;*
U	=	1-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	=	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:

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

> **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.

ii. 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

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