

MANAGEMENT SYSTEMS

Table of Contents

1. Cost Reduction and Management Improvement
 - .1 Objectives
 - .2 Responsibilities
 - .3 Bureau Program Description
 - .4 Project Criteria
 - .5 Reports
 - .6 Use of Forms
 - .7 Validation of Reported Savings or ImprovementsExhibit 1--BOB Circular No. A-44
Exhibit 2--Form DI-1310
Exhibit 3--Form DI-1071
2. Reserved for Future Use
3. Reserved for Future Use
4. Organization Planning and Position Management Improvement
 - .1 Introduction
 - .2 Purpose
 - .3 Policy
 - .4 Reorganization Procedures
 - .5 Procedures for Individual Personnel Requests
 - .6 Evaluation
5. Program Accomplishments Reporting System (PARS)
 - .1 Purpose
 - .2 Authority
 - .3 Definitions
 - .4 Objectives
 - .5 Agency Responsibilities and Procedures
 - .6 Area Office Responsibilities and Procedures

Illustrations 1-3

Supplements to 33 BIAM

<u>No.</u>	<u>Title</u>
1.	Incentives Awards Handbook
2.	Reports and Forms Catalog

MANAGEMENT AND SYSTEMS
Cost Reduction And Management Improvement

1.1 Objectives: The major objective of the Federal Government to improve administrative and program management in ways which will result in less cost, increased efficiency, and improved service to clientele has been formalized into the Cost Reduction and Management Improvement Program by Bureau of the Budget Circular No. A-44. This Circular is adopted as a basic instruction for the Bureau Cost Reduction and Management Improvement Program as Exhibit 1 of this chapter. Bureau implementation of the circular is described in the following paragraphs.

1.2 Responsibilities: The Cost Reduction and Management Improvement Program will be carried out under the leadership of the Bureau Cost Reduction and Management Improvement Committee. Committee membership is as follows:

Assistant Commissioner for Administration, Chairman
Assistant Commissioner for Program Coordination, Co-chairman
Assistant Commissioner for Engineering, Member
Deputy Assistant Commissioner, Community Services, Member
Deputy Assistant Commissioner, Economic Development, Member
Deputy Assistant Commissioner, Education, Member

Staff support to the committee will be provided by the Management Research Staff. The Program will be reflected in the Budget and PPBS submissions by the divisions of Budget and Program Analysis and Development as required by BOB Circular A-11.

Responsibility for carrying out the program at the area and agency levels is vested in the cognizant Area Director and Agency Superintendent. The heads of other offices, including Central Office units outside Washington, are assigned responsibility for the Program within their respective jurisdictions. Local Cost Reduction and Management Improvement Committees or appropriate staff officials may be designated to direct local programs.

1.3 Bureau Program Description: Cost reduction and management improvement are inherent duties of all Bureau employees and particular duties of those having supervisory or management assignments. The Bureau Cost Reduction and Management Improvement Committee is responsible for Bureau-wide activities which will promote and stimulate accomplishment of these duties. The Incentive Awards Program will be used when appropriate.

In addition, a formal Bureauwide program for cost reduction and management improvement will be developed annually by the Committee. The formal

MANAGEMENT AND SYSTEMS

Cost Reduction And Management Improvement

program shall consist of an appropriate number of preidentified projects to be carried out within all organizational units of the Bureau. Criteria for the projects are set forth in paragraph 4 below and in BOB Circular A-44. Development of the program will proceed on the following recurring schedule:

- July
 - Develop gross dollar goals for the cost reduction program for the fiscal year beginning one year later.
 - Announce selected Bureauwide projects for the current fiscal year with Area goals, if appropriate.
 - Review program accomplishments for prior fiscal year to identify and recognize significant accomplishments or weaknesses.
- January
 - Review progress on current year projects and initiate appropriate action to stimulate accomplishment of established dollar goals. Additional projects may be adopted if appropriate.
 - Review dollar goals for the following year and modify if required to conform to anticipated Budget action.
- April
 - Begin conversion of dollar goals for the following fiscal year into firm projects.

Area Directors are expected to follow a similar schedule, modified as necessary to meet reporting requirements established below, in developing an Area Cost Reduction and Management Improvement Program. In addition to Bureauwide projects, Area programs will normally include projects which meet all or most of the criteria for Bureau projects within the given area but which are not selected for Bureauwide emphasis because of the scope of application, relative impact on the total Bureau, or for other reason. Such projects are of significant importance to accomplishment of the objectives of BOB Circular A-44 and omission from the schedule of Bureauwide projects is not intended to reflect adversely on their importance.

Agency Superintendents and the heads of other offices are encouraged to adopt local Cost Reduction and Management Improvement Programs. Such programs will include Bureau and Area projects plus any local projects which may be identified.

MANAGEMENT AND SYSTEMS

Cost Reduction And Management Improvement

1.4 Project Criteria: Selection of projects for the Bureau Cost Reduction and Management Improvement Program will be based on the following criteria and the requirements of BOB Circular A-44.

- A. Significance of savings of manpower or dollars which may be anticipated;
- B. General applicability to Bureau operations;
- C. Relationship to programs and goals of the Secretary and Commissioner;
- D. Availability of resources and authorities for accomplishment; and
- E. Beneficial affect on Indian population.

1.5 Reports: The Management Research Staff, in cooperation with the Bureau Committee, is responsible for compliance with current departmental and Bureau of the Budget reporting requirements. To facilitate meeting these requirements and Committee action on the program, each Division of the Washington Office, each Area Office, and other units reporting directly to the Washington Office are required to report as follows:

- A. July 15: (1) Using Form DI-1310 (Exhibit 2), back and front, report accomplishments on each project included in the Bureau and Area program for the previous fiscal year. Use of Form DI-1310 is described below. Projects which were not programmed may be included if significant.

(2) Using Form 1-1071 (Exhibit 3), report projects programmed by the reporting office for the current fiscal year. (NOTE: The Bureau program will not have been finalized at this time; therefore, reporting offices will include only those projects they will undertake regardless of Bureau Committee action). Use of Form 1-1071 is described below.

(3) Using memorandum form, submit suggested dollar savings goals for the following fiscal year in each of the three categories listed in paragraph I, Attachment A, BOB Circular A-44.
- B. October 15: (1) Using Form DI-1310, front side only, report progress on current year projects, including all Bureauwide projects and local projects as appropriate.

MANAGEMENT AND SYSTEMS

Cost Reduction And Management Improvement

(2) Using Form 1-1071, report new projects which may have been added to the reporting office program. Form 1-1071 is not required for projects included in the Bureauwide program.

(3) Using memorandum form, report continuing savings from projects programmed during the previous year by project and modification of suggested dollar savings goals for the following fiscal year, if appropriate.

C. January 15: Report Progress, additional projects, or modification in the same formats used in October.

D. April 15: (1) Report progress, additional projects, or modification in the same formats used in October.

(2) In addition, include in the memorandum descriptions of projects suggested for the Bureauwide program for the following fiscal year. Generally, the narrative on each projects should include sufficient information for completion of Form 1-1071 in the event the project is adopted in the Bureauwide program.

1.6 Use of Forms: Form 1-1071 is prescribed by the Department for use in establishing Cost Reduction and Management Improvement projects. Form DI-1310 is prescribed for use in reporting progress and completion of projects. (Use of the PHASE and WORK ITEMS blocks on Form DI-1310 is optional within the Bureau). Both forms are generally self-explanatory; however, three categories of information are of major importance for Bureauwide reporting and evaluation. These are:

- A. Description (Form 1-1071) and Report of Progress (Form DI-1310): Sufficient information should be included to show the positive action management plans to take or has taken to accomplish the cost reduction or management improvement reported. In addition, a reasonably full explanation of how savings reported will or have been utilized should be included. When savings are intangible or costs are avoided (rather than actually saved), sufficient information to demonstrate the validity of savings or improvement asserted should be included under these headings.
- B. Effect of Savings (Form 1-107) and Proposed Use of Dollar Savings (Form DI-1310).

Information coded or checked under these headings is basic to a determination of the projects impact on Bureau budget and program memoranda submissions. As noted above, the information should be fully explained in the narrative of the respective reports.

MANAGEMENT AND SYSTEMS

Cost Reduction And Management Improvement

The following definitions should be used in determining which item to check or which code applies:

- (1) Cost Avoidance: Projects which do not result in an actual reduction in programmed funds or positions but which permit accomplishment of the program without a request for additional funds in the future should be reported under this category. Particular attention is required to paragraph 3.d(1) of BOB Circular A-44 when reporting projects under this category to avoid those projects excluded by BOB definition.
- (2) Budget Reduction: Projects which will permit withdrawal of programmed funds or positions without adverse affect on the accomplishment of the program should be reported under this category. The President has placed first priority on this category of savings and every effort should be made to design projects which will result in actual reduction of the Bureau's budget request.
- (3) Raise Quality of Service or Performance: Projects which result in demonstrable improvement of service to Indian people or other organizational units may be reported under this category.
- (4) Applied to Other Program or Activity: Projects which permit the actual transfer of money or positions from one program activity to another (e.g., from personnel recruitment to position classification) for a significant period of time may be reported under this category.
- (5) Production of More Units of Work: Projects which permit the accomplishment of quantifiable additional work based on documented programs, standards, or past experience may be reported under this category.
- (6) Other: Use as appropriate with full explanation under Block 3.

C. Manpower and Dollar Savings. Manpower and dollar savings attributed to the project must be reported on a net basis as they accrue. That is, savings reported on DI-1310 will be the amount saved to date in the current fiscal year minus costs of implementing the project. Savings reported on 1-1071 as planned will be the amount of savings anticipated minus the planned cost of

MANAGEMENT AND SYSTEMS

Cost Reduction And Management Improvement

implementation for the fiscal year in which the project is programmed.

1.7 Validation of reported savings or improvements: BOB Circular A-44 requires an independent evaluation of reported savings or improvements prior to inclusion in reports to the Bureau of the Budget. The validation process for the Bureau will consist of three parts:

- A. Local validation: The head of the reporting office or his designated representative will examine reported savings or improvements using appropriate measurement techniques to verify that those attributed to the project have resulted from it to the extent reported. Verification of this review and that the report is valid will be made by signature and appropriate title on the reverse of Form DI-1310.
- B. Bureau review for validation: The Bureau Cost Reduction and Management Improvement Committee with assistance from the divisions of Budget and Program Analysis and Development and the Management Research Staff will review all reports on the basis of information contained therein to evaluate reasonableness of amounts reported. Additional documentation may be requested if considered necessary to establish the validity of reported savings or improvements.
- C. On-site reviews: The Bureau Accounting Services Staff and Management Research Staff will, during the course of routine or special field visits, examine reported accomplishments under the Cost Reduction and Management Improvement Program for purposes of verifying reported savings and local validation processes.

EXECUTIVE OFFICE OF THE PRESIDENT

BUREAU OF THE BUDGET
WASHINGTON, D. C. 20503

Exhibit 1
33 BIAM 1

August 3, 1966

CIRCULAR NO. A-44
Revised

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Cost reduction and management improvement in Government operations

1. Purpose and coverage

a. This Circular promulgates revised instructions for identifying and reporting on cost reduction and management actions. It replaces and rescinds Circular No. A-44 (Revised), dated March 29, 1965, and all Transmittal Memorandums issued thereunder.

b. This Circular sets forth policies, procedures and responsibilities for carrying out the President's program to reduce the cost and improve the general effectiveness of Government operations. It applies to all departments and agencies of the executive branch effective immediately.

c. The President's concern for efficiency and economy of Government administration and operations requires, among other things, that special emphasis be given to identifying cost reduction and management improvement actions which might be applicable to the operations of several or all of the departments or establishments. The aim is to share these new ideas throughout the Government. Accordingly, paragraph 3f of the Circular and Section A3 of Part III, Attachment A, have been revised to provide for the identification of innovations and other actions which may be adaptable to the operations of other departments and establishments.

d. The major revisions provide for (1) the updating of cost reduction goals (paragraph 3c); (2) a more specific definition and explanation of savings determinations for reporting purposes (paragraph 3d(1) and Sections IA and B of Attachment A); (3) additional instructions for reporting "other benefits" (paragraph 3d(2) and Section IC of Attachment A); (4) reduction in the number of copies of reports to be submitted (paragraphs 3b and c); (5) clarification of instructions for the use of Attachment B, Summary Report, for reporting cost reduction goals starting with the September 1, 1966, report (paragraph 3e); (6) a requirement that numerical columns in the Summary Report, Attachment B, be totaled (Sections IIB and IIIB of

Attachment A); and (7) a further explanation of the abbreviation "BNY" on the Summary Report form (footnote to Attachment B).

2. Policy

a. The President has directed that each department and agency head put into effect and assume direct supervision of a formal, organized cost reduction program. The President is interested in savings for three principal reasons:

- . To reduce the cost of Government;
- . To finance new and needed programs; and
- . To offset increased costs for personnel and other resources.

b. The following policies will be observed in agency cost reduction activities:

(1) The head of each department and agency is as responsible for efficiency and economy in the conduct of agency programs as he is for program results.

(2) Management at all levels in each agency is expected to undertake vigorous and continued efforts to reduce costs by eliminating nonessential activities and positions and by increasing productivity.

(3) The heads of departments and agencies and their subordinates will make every effort to meet new workload requirements through adjustments in existing activities and procedures, and by improved manpower control and utilization.

(4) Government business will be conducted in accordance with the same exacting standards that apply to the most expertly managed private business.

(5) Improved organization, more efficient methods and procedures, use of labor-saving equipment, strengthened supervision, economical procurement, and other actions to reduce the cost of current programs will be constantly sought so that available resources can be most effectively utilized in meeting the Nation's urgent needs.

3. Cost reduction plans and reports. Each department and agency head will prepare an annual cost reduction plan with specific savings goals. In preparing his plan he will make a systematic review of agency programs from the standpoint of relative priorities and subject major proposed expenditures to searching scrutiny in terms of cost

and benefits. Specific efforts should be planned to eliminate or curtail low priority activities, seek new and less costly approaches to achievement of program objectives, and devise better solutions to management problems. Positive steps should be taken to encourage innovation in the development and use of new techniques for increasing productivity.

a. Goals. At the beginning of each fiscal year each department and agency head will establish cost reduction goals for at least the year just beginning and the following fiscal year. The goals will be quantified to the extent possible and based on reasonable projections of concrete actions contemplated and savings expected, but desirable improvements or benefits which cannot be quantified in terms of dollar savings may be included.

b. Reporting of goals. The head of each department and agency will submit to the President, through the Director of the Bureau of the Budget, by September 1 of each year, a report on the cost reduction goals he has established for the current fiscal year and at least one following year. The report will be submitted in duplicate and provide, in accordance with the attached guidelines and format (Attachments A and B), a brief description of the actions contemplated, when they are to be completed, and appropriate annual man-year and dollar savings targets. If legislative action is required to achieve these goals, this should be noted and a legislative proposal should be submitted, in accordance with Bureau of the Budget Circular A-19 (Revised).

c. Reporting of progress. Each department and agency will send to the President, through the Director of the Bureau of the Budget, semiannual progress reports showing the extent to which cost reduction goals are being reached. The reports covering the first half of the fiscal year and the entire fiscal year will be due on March 1 and September 1, respectively. They will be submitted in duplicate in accordance with the attached guidelines and format (Attachments A and B). Cost reduction goals and improvement actions will be updated in subsequent semiannual reports when significant changes are contemplated.

d. Definition of savings and other benefits

(1) Savings. Savings reported under this program will be those which occur in the year reported on, and result from new, improved, or intensified management practices and actions or from the elimination or curtailment of low priority activities. They are not to include such things as:

- Reductions due to decline in demand for agency output.

- Reductions due to deferment of programs or activities to some future date.
- Savings to one agency as a result of transferring responsibility for a function to another agency, except to the extent of a net saving to the Government.
- New uses for foreign currencies, except to the extent of a net saving to the Government.
- Acquisition of excess property when funds for the purchase of similar, new property could normally not have been expected to be available.
- Savings resulting from use of voluntary uncompensated overtime, rather than increased staffing or paid overtime.

For reporting purposes, savings resulting from those types of practices should be screened out. Savings are to be measurable and identifiable. They will be calculated using as a base the level of expenditures or unit costs of the fiscal year immediately preceding the year reported on, except where another base year has been approved by the Director of the Bureau of the Budget. Savings should be credited to one 12-month period. If such a period extends over two fiscal years, then the amount should be credited proportionately. Savings will be in terms of dollars and man-years, as appropriate. The report will also show the nature of savings or benefits and their proposed disposition.

(2) Other benefits. It is recognized that valid savings and improvements, other than those previously described, can be accomplished. These fall into at least two additional groupings which can be described as improved service and normal good management.

(a) Improved service cannot always be quantified. It is often impossible to attach dollar value to more prompt service, better patient care, or more equitable treatment of clientele. However, the benefits are nonetheless real, and should not be overlooked.

(b) Many management controls, if effective, result in the prevention of unnecessary expenditures. Such functions as review of construction plans, establishing and implementing criteria consistent with objectives to prevent making or guaranteeing loans with little hope of repayment, and procurement reviews to assure that most economical methods are utilized save significant amounts of money during day-to-day operations. Departments and agencies may report

their goals and progress in areas such as these in accordance with the attached guidelines (Attachment A).

e. Use of Summary Forms (Attachment B). September reports, starting with those due on September 1, 1966, will be submitted on two sets of Summary Forms (Attachment B). The first set is to be used to report progress made during the fiscal year just ended; the second set to report goals established for the current and next fiscal years. Reports due on March 1 will be submitted on one set of Summary Forms on which both progress for the first half of the current fiscal year and updated goals for both the current and next fiscal years will be shown.

f. Cost reduction ideas applicable to other agencies. Innovations and new methods and procedures devised to reduce costs or to improve the management of Government operations which are considered applicable to other departments and agencies will be especially identified in each semiannual report. See Attachment A for reporting instructions.

4. Use of savings. Since savings may constitute an additional resource for other worthwhile work, recommended and actual use of savings will be specified and reported by agencies. Recurring savings and those projected for the budget year will be considered during the budget review process. Recommended high-priority uses of savings will be categorized as follows:

- a. Use to finance increased costs, such as statutory pay increases.
- b. Apply to the production of more units of work.
- c. Apply to raise the quality of service or performance.
- d. Use to finance some other approved program or activity of the reporting agency.
- e. Place in reserve, or apply to reducing the President's budget.

The need for application of savings to categories a through d, above, will be fully explained in the report. This explanation should include the specific benefits to be derived from reprogramming these additional resources. For example:

- How many more work units would be accomplished? (Category b)
- To what extent will the quality of service or performance be improved? (Category c)

What will be accomplished in other approved programs by application of these additional resources? [Category d]

Savings reported in accordance with this Circular are expected to be taken into account in all budget submissions beginning with the one for FY 1968.

5. Validation of savings. Savings will be measured using the techniques appropriate to the particular circumstances. Care will be taken to prevent double counting and to consider offsetting costs. All offsetting costs applicable to an individual savings action, whether incurred within or outside the reporting agency, will be deducted before net savings are reported. Savings should be validated by a review performed independently from the claiming unit. Such validations will be performed before data and reports are submitted to the Bureau of the Budget and the President. The term "validation" means an independent evaluation of the reasonableness of amounts reported as accomplishment against goals through selective examination of reports, records, and operations.

6. Central assistance for improving management

a. The staff of the Bureau of the Budget is available to advise agencies in their management improvement and cost reduction programs and to serve as a clearinghouse for exchanging information on techniques and programs, from within and outside of the Government, that have produced noteworthy results. To meet unusual problems where the agency does not have the expertise or the financial resources to undertake special management studies, assistance may be provided from the appropriation to the President for Expenses of Management Improvement.

b. Federal Executive Boards in major centers of Federal activity outside of the Washington area will give specific attention to the exchange of information and cooperative efforts designed to improve management and performance of Federal activities in the field.

c. The Bureau of the Budget, the Civil Service Commission, and the departments and agencies have undertaken a systematic program of agency management and manpower reviews. The schedule for these reviews is developed by the Bureau of the Budget and the reviews are carried out jointly by staff of the Bureau, the Commission, and the agency concerned. The reviews are made on a selective basis giving priority attention to areas where the most significant problems and potential savings exist. The results of these reviews are reported to the head of each agency for immediate attention and such action as is necessary.

CHARLES L. SCHULTZ
Director

ATTACHMENT A
Circular No. A-44
Revised

GUIDELINES FOR REPORTING COST REDUCTION GOALS AND ACCOMPLISHMENTS
(See paragraphs 3 and 4, Bureau of the Budget Circular A-44 (Revised))

I. Categories for Goals and Semiannual Progress Reporting

Cost reduction goals and accomplishments will be reported by the head of each department and agency under the following categories. Additional categories may be used, if desirable, and some of those listed here may be excluded if they do not fit.

A. Increased productivity and efficiency. Annual productivity goals and progress in achieving them may be reported for the organization as a whole or for major organizational components. They may be expressed in percentage increases in productivity or decreases in unit costs. However, in each case there should be clearly stated in the short narrative description the specific actions, innovations, and improvements which brought about the productivity increase. All improvement in productivity or efficiency should be translated into specific dollar and manpower savings. Depending on the size of the agency, they may be presented in aggregate or in terms of specific projects.

B. Elimination of low priority activities; substitution of less costly alternatives. This may include savings from specific, overt management actions which result in the elimination of unessential programs or activities, reduction of specific program levels, or the selection of an alternative program or course of action from that originally approved or in use. Reductions imposed externally by the President's Budget are reportable in terms of the specific, overt management actions taken to accommodate to them while still accomplishing planned program output.

C. Management and program effectiveness

1. Non-quantifiable savings. The intended and actual result of management improvement actions during the year reported on for which specific and demonstrable savings are impossible to calculate should be reported under this category.

2. Savings from effective management controls. This category may be used to report savings resulting from particularly effective management controls, such as those described in Paragraph 3d(2)(b) of the Circular.

II. Annual Goals

The statement of cost reduction goals, set by each department and agency and submitted to the President through the Director of the Bureau of

the Budget by September 1 of each year, will contain these elements stated as briefly as possible:

A. Narrative description

1. Goal. Describe each separate goal, listed by category as defined in Section I above, including estimated dollar and man-year savings or other benefits.
2. Projects. Under each goal, list and provide a brief description of the program, projects, or actions designed to reach the goal, together with a timetable of implementation. These will be reported in terms of general programs, major projects or specific actions, as appropriate to the size of the reporting department or agency.
3. Nature of savings or benefits. For each program, project, or action, describe the type of saving or benefit, indicate when it is to be achieved, and indicate whether it is one-time or recurring.
4. Disposition of savings. Explain the proposed use of savings in accordance with the criteria included in paragraph 4 of Circular No. A-44 (Revised).
5. Problem areas. Note and explain any roadblocks in planning or accomplishing the goal which require the assistance of the Bureau of the Budget, the President, other agencies, and/or require new or revised legislation.
6. Innovation. Identify and describe steps to encourage innovation, including specific actions, planned or underway, to develop and use new management techniques. Where appropriate, include evaluation of results.

B. Summary form. Recapitulate in the first five columns of the summary form (Attachment B) the essential information provided in the narrative and provide a total for each column as appropriate. The summary form will also be used for subsequent semiannual reporting of progress.

III. Semiannual Progress Report

A. Narrative report. The semiannual narrative progress reports will contain:

1. Any changes in the narrative description provided at the time the cost reduction plans were submitted.

2. Changes in goals, but these should not ordinarily be reduced unless the original plan was greatly overestimated. Any slippages in goals should be indicated, together with the reasons.
3. A description of major actions taken during the preceding six months on each program, project, or action listed in the plan. If the major action involves an innovation, new procedure, or new method which the department or agency has devised and which might be applicable to the operations of other departments or agencies, the action will be identified with an asterisk and a brief description attached to the report as an appendix.
4. An explanation of the use proposed for any savings.

B. Summary form. The summary form (Attachment B) will contain:

1. Recapitulation of the programs, projects, or actions by which goals are to be reached, as specified in the annual plan and in the narrative section of the report.
2. Estimate of savings in dollars and man-years, or other benefits to result from action on each goal or project, with a total in each column.
3. Proposed disposition of anticipated savings using the key provided on the form (Attachment B), that is--
 - a. Use to finance increased costs, such as statutory pay increases.
 - b. Apply to production of more units of work.
 - c. Apply to raise quality of service or performance.
 - d. Use to finance some other approved program or activity of the reporting agency.
 - e. Place in reserve, or apply to reducing the President's Budget.

SUMMARY REPORT
COST REDUCTION AND MANAGEMENT IMPROVEMENT PROGRAM

Goals and Programs, Projects, or Actions To Achieve Them	Annual Savings Goals		Estimated Annual Savings from Actions to Date in Reporting Year				Other Benefits	Proposed Use of Dollar Savings (See Key)
	dollars		dollars					
	man-years	NY	CI*	NY	CI*	NY		

(Department or Agency)

(Date)

Savings Key:

- A. Use to finance increased costs, such as pay increases.
- B. Apply to production of more units of work.
- C. Apply to raise quality of service or performance.
- D. Use to finance some other approved program or activity.
- E. Place in reserve, or apply to reducing President's budget.

Abbreviations:

- CY - Current fiscal year
 - NY - Next fiscal year
 - BNY - Beyond next year indicating specific fiscal year when savings will be realized
- *For the second of the semi-annual progress reports the current year column will be the fiscal year ending on the previous June 30.

5. FINAL ANALYSIS OF PROJECT

a. Savings Achieved:
 Dollar Total \$ _____
 Personnel \$ _____ (No. _____)
 Equipment \$ _____
 Space \$ _____
 Other \$ _____

b. Other Completion Actions (explain under Remarks)
 Completed - No Savings Accrued
 Cancel - Management Decision
 Withdraw Project - Other Actions Preclude Continuation

6. ACTION TAKEN TO RECAPTURE SAVINGS

a. Is reprogramming necessary due to tangible savings? Yes No

b. Date _____

Remarks

7. DETAILS OF COST-SAVING ACTIONS FOR REPORTING UNDER CIRCULAR NO. A-64

PROJECT NO. AND DESCRIPTION	ANTICIPATED SAVINGS		NATURE OF SAVINGS		PROPOSED USE OF DOLLAR SAVINGS (See Key) (Cite Budget Line Item Affected)
	DOLLARS		ONE-TIME	RECURRING	
	MAN-YEARS	CURRENT FY			
	NEXT FY	NEXT FY			

USE FOR SAVINGS KEY A AND D ONLY

- SAVINGS KEY
- A. Place in reserve, or apply to reducing President's budget.
 - B. Apply to production of more units of work.
 - C. Apply to raise quality of service or performance.
 - D. Use to finance some other approved program of activity.
 - E. Use to finance increased costs, such as pay increases.

Approval and clearance of Division of Budget on reductions and reprogramming of budget estimates:

(Bureau Budget Officer) _____ (Director of Budget)
 (Bureau Coordinator) _____ (Department Coordinators)

U.S. DEPARTMENT OF THE INTERIOR

COST REDUCTION AND MANPOWER CONSERVATION PROGRAM
PROJECT ASSIGNMENT RECORD

1a. Bureau	b. Priority Code	c. Project Number
2. Project Title		

3. Description (continue on reverse if needed)

4. Type of Project (check one) <input type="checkbox"/> Governmentwide <input type="checkbox"/> Departmentwide <input type="checkbox"/> Bureauwide <input type="checkbox"/> Regional <input type="checkbox"/> Headquarters only <input type="checkbox"/> Local	5. Type of Savings (check one or more) <input type="checkbox"/> Closures - Consolidation - Centralizations <input type="checkbox"/> New Technical Application <input type="checkbox"/> Personnel Reassignments <input type="checkbox"/> ADP Application <input type="checkbox"/> Procedural Improvement <input type="checkbox"/> Reports Reduction <input type="checkbox"/> Other	6. Effect of Savings (check one or more) <input type="checkbox"/> Cost Avoidance <input type="checkbox"/> Budget Reduction <input type="checkbox"/> Raise Quality of Service or Performance <input type="checkbox"/> Applied to Other Program or Activity <input type="checkbox"/> Production of More Units of Work <input type="checkbox"/> Other
7a. Project Initiated by (name):	8a. Project Approved by (name):	13a. Date Project Undertaken:
b. Date	b. Date	b. Target Date for Completion:
9a. Project Supervisor (name)	10a. Project Assistant (name)	c. Estimated Manhours to Complete:
b. Date	b. Date	d. Estimated Total Dollar Savings: \$
11a. Project Assistant (name)	12a. Bureau Coordinator (name)	Savings in Personnel: \$ (No.)
b. Date	b. Date	Savings in Equipment: \$
		Savings in Space: \$
		Other (explain on reverse) \$
		Budget Line Item of Activity Affected:

MANAGEMENT AND SYSTEMS

Organization Planning and Position Management Improvement

.1 Introduction. Reorganizations are effected primarily to improve the Bureau's capabilities in the delivery of services to Indian tribes. Organization changes necessary to accomplish a reorganization may be major or minor in nature. Major changes involve the transfer of one or more functions or areas of responsibility within a program or administrative unit. Reassignment of current responsibilities or duties within a subordinate branch are considered minor. The 5 BIAM, Organization and Organizational Concepts and Functions, provides the specific mandatory approval levels for each type of change.

.2 Purpose. This chapter provides the policy, practices, and procedures for the allocation and realignment of resources through effective position management and organization planning.

.3 Policy. Systematic planning by all line managers and supervisors is mandatory to assure that Bureau functions, manpower, and activities are organized to expedite accomplishment of program objectives in the most direct and effective manner.

.4 Reorganization Procedures. Reorganizations are to be accomplished in three phases: planning, approval, and implementation; any deviation from the following procedures or time limitations must have prior approval from the Commissioner of Indian Affairs. The procedural flow for reorganizations is shown in Exhibit 1.

A. Planning Phase. The following actions within the planning phase should be completed within thirty days:

(1) The informal development of concepts, data requirement definitions, and other preliminary planning tasks are to be completed by the proposing official with assistance from the functions of management analysis and/or personnel management, if desired.

(2) A reorganization package will be developed by proposing management and program official(s) with technical assistance from designated individuals from management analysis, personnel management, the operating budget office, and other pertinent sources. The package should include the following:

(a) Nature of proposed changes.

(b) Factors making change necessary, including to what extent the proposed change furthers the Bureau mission.

MANAGEMENT AND SYSTEMSOrganization Planning and Position Management Improvement

(c) Rationale for choosing the particular organization structure proposed.

(d) Staffing table of present and proposed positions for each organization component affected by the proposed change.

(e) Proposed draft position descriptions for all new positions, or amendments to those positions in which duties will be significantly altered.

(f) One time and continuing cost required to implement the proposed change and the source of funding.

(g) Statement, signed by operating budget officer, that the requested staffing is within the financial program and employment ceiling limitations.

(h) Statement describing the involvement of tribes, if any, in the consultation process with regard to the proposed change.

(i) Statement describing the significance of how the proposed changes impact on the recognized labor organization, with a determination as to whether the union should be consulted or changes in the unit recognition will be necessary.

(j) A manpower and staffing need justification, accompanied by a detailed workload analysis. The analysis should identify organizational unit work processes and provide written evidence of established workload evaluation criteria.

(k) Other information or material which will help clarify reasons for proposed change, such as studies, reviews, surveys, etc.

(l) Maps showing jurisdictional boundaries, if appropriate.

(m) Proposed draft Departmental/Bureau Manual Release, with draft functional statements.

(n) Proposed criteria for management evaluation of effectiveness and efficiency.

B. Approval Phase. The following actions within the approval phase should be completed within a minimum of fifteen days and a maximum of thirty days, dependent on the mandatory levels of approval.

(1) The Organization and Manpower Advisory Group, composed of designated management and operating program officials, individuals from management analysis, personnel management, and the operating budget office

MANAGEMENT AND SYSTEMS

Organization Planning and Position Management Improvement

will review the proposed package with consideration given to the reasons for reorganization, functional statement, organization structure, job design, and the relationship to other Bureau organization components.

(2) After analysis, impact assessments, (i.e. grade, budgetary, space, environmental, personnel, etc.) and the development of possible alternatives and cost analyses, the package will be submitted to the appropriate Bureau approving official with written recommendations from the Organization and Manpower Advisory Group. When approved, the implementation phase begins.

(3) If the proposal is not approved by the Area Director or the Commissioner, at each respective level, the package will be returned to the originating office with documented reasons for disapproval and suggestions or recommendations for changes in the proposal before resubmission. The Advisory Group will furnish technical assistance in redevelopment of the proposal, if requested.

(4) If approved, and Departmental approval is necessary, the package will be submitted by the Commissioner's Office to the Department. After required approvals are received, the proposing official will be notified and appropriate manual changes published.

C. Implementation Phase. The following actions within the implementation phase should be accomplished within forty-five days.

(1) The proposing official will initiate the previously developed implementation plan (recruitment plan, reassignment plan) and procedures with assistance from the servicing personnel office. The Organization and Manpower Advisory Group, or individuals from the group, may be involved if the official so desires.

(2) The operating budget office will initial the SF 52's, to signify conformance to the financial program and to assure the position is within employment ceiling limitations.

(3) The servicing personnel office will perform classification, staffing, and recruitment.

.5 Procedures for Individual Personnel Requests. The following procedures apply to establishing all new positions and filling all vacancies. In addition, the procedures apply to proposed upgrades for encumbered positions GS-5 and above. The procedure may be extended to cover encumbered positions below the GS-5 level and all WG positions, at the discretion of the Area Director. The procedural flow for individual position actions is shown as Exhibit 2 to this chapter. The Position Justification/Review form is shown as Exhibit 3.

MANAGEMENT AND SYSTEMSOrganization Planning and Position Management ImprovementA. Responsibilities of Proposing Official. The proposing official:

- (1) Develops a position description.
- (2) Prepares the SF-52.
- (3) Prepares the Position Justification/Review form, attaching any additional supporting data deemed necessary.
- (4) Reviews the organization and insures that required changes to other existing position descriptions are identified.
- (5) Prepares new position descriptions for positions that must be changed and forwards Request for Personnel Action (SF-52) for each.
- (6) For positions not within current financial and/or employment ceiling limitations, prepares the recommendation for source of funds or employment ceiling.
- (7) Submits the request to the operating budget office.

B. Responsibilities of Operating Budget Office. The operating budget office:

- (1) Reviews and determines whether or not the request is in conformance with the financial program and employment ceiling limitations. Based on the determination, the office either:
 - (a) Returns the request to the proposing official, if the proposal is not within the financial program and/or employment ceiling limitations, or
 - (b) Submits the request to Management Analysis or an Organization and Manpower Group, if the proposal is within the financial program and/or employment ceiling limitation.

C. Responsibilities of Management Analysis or Organization and Manpower Group. An analyst or the Organization and Manpower Group:

- (1) Reviews the request to determine whether the proposal is organizationally sound and within assigned functional responsibilities. Based on the determination, the analyst or the group, either
 - (a) Prepares alternate recommendations, if appropriate, and returns to proposing official or,
 - (b) Submits the request to the personnel office, if it

MANAGEMENT AND SYSTEMSOrganization Planning and Position Management Improvement

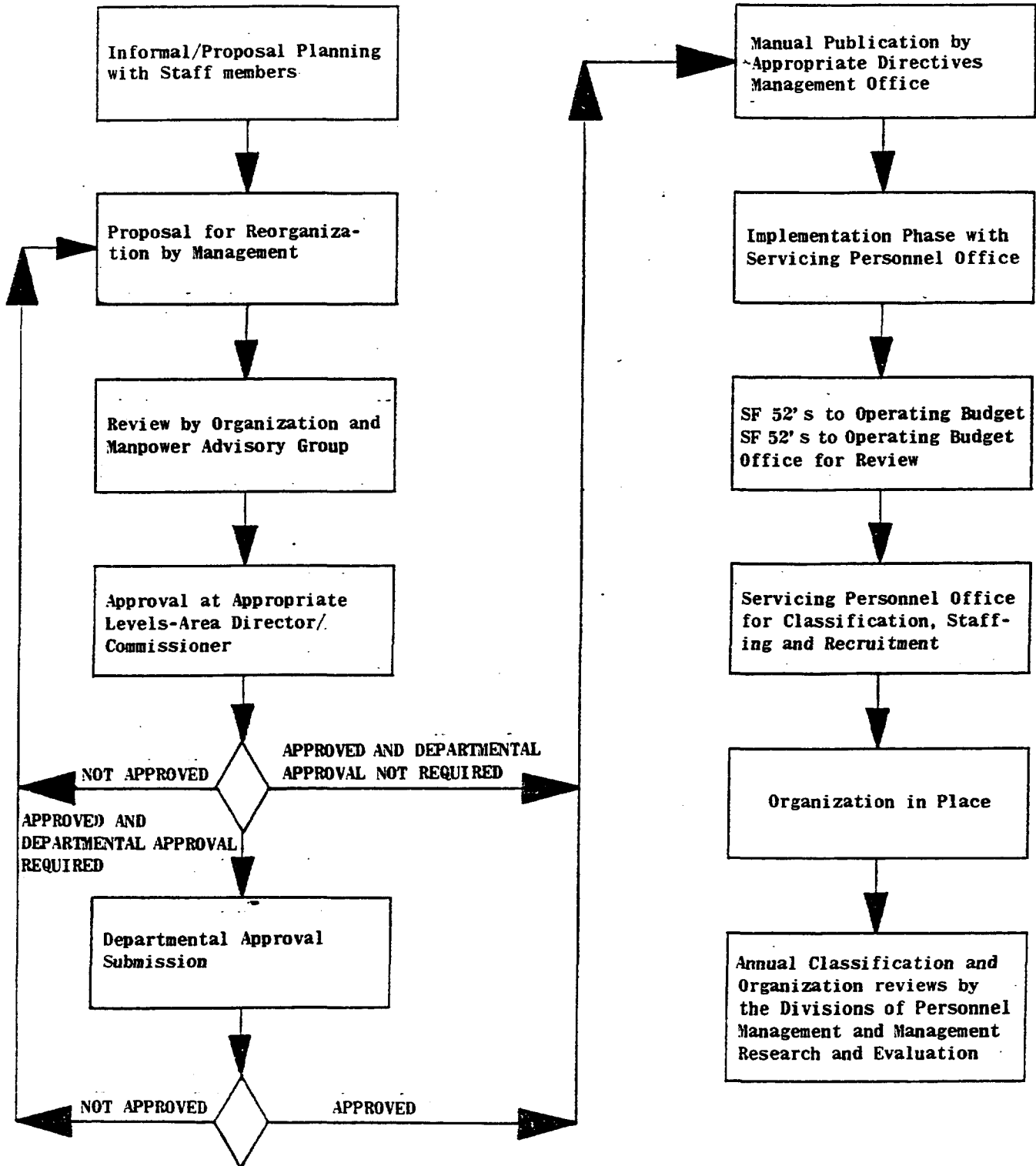
is within the assigned functional responsibilities and is organizationally sound.

D. Personnel Office. The operating personnel office:

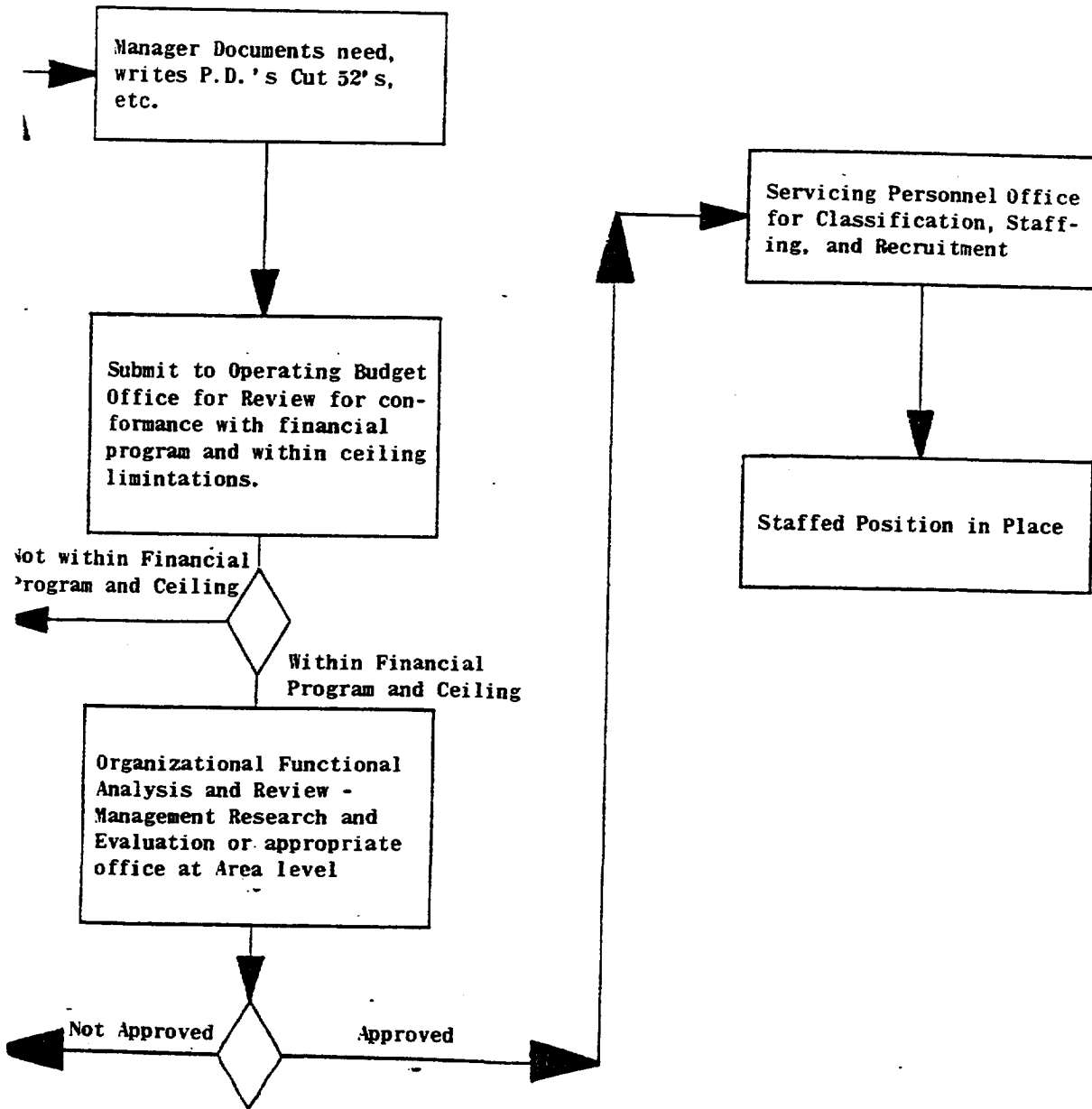
- (1) Reviews the request with regard to effective position management.
- (2) Classifies the position(s).
- (3) Changes or prepares a new organization chart reflecting the action.
- (4) Recruits, reassigns, promotes, or demotes, as necessary, to fill the position(s).
- (5) Processes the action(s) through to completion.

.6 Evaluation. Annual classification and organization reviews by the Divisions of Personnel Management and Management Research and Evaluation will be conducted to assure that: employees are operating within their position descriptions; performance standards are developed for each position category; the organization is functioning as planned; and feasible standards for evaluation are established.

PROCEDURES FOR REORGANIZATION



PROCEDURES FOR INDIVIDUAL PERSONNEL REQUESTS



POSITION JUSTIFICATION / REVIEW

NOTE: Submitting office complete one copy of this form and attach to each Request for Personnel Action (SF-52) to establish all new positions, fill all vacancies or to upgrade existing positions. Forward to Operating Budget Office.

1. Proposed Position Title/Series/Grade/No:	2. Current Position Title/Series/Grade/No:
---	--

3. Organizational Location:

<p>4. Type Position Action Proposed (Check one):</p> <p><input type="checkbox"/> Fill a vacant position</p> <p><input type="checkbox"/> Establishment of a new position</p> <p><input type="checkbox"/> Upgrading of an existing position</p> <p><input type="checkbox"/> Establishment of a supervisor position</p> <p><input type="checkbox"/> Establishment of an additional identical position</p> <p><input type="checkbox"/> Other (Specify)</p>	<p>5. Reason for Proposed Position Action (Check applicable item and explain reason on reverse):</p> <p><input type="checkbox"/> New or changed mission, function, or workload</p> <p><input type="checkbox"/> Redistribution of duties among other jobs</p> <p><input type="checkbox"/> Organizational change</p> <p><input type="checkbox"/> Career Ladder Promotion</p> <p><input type="checkbox"/> Other (Specify)</p>
--	--

6. Impact on other established positions (Explain on Reverse):

7. Summary of Changes to Previous P.D. (Explain on Reverse):

8. Action is within Financial Program and Ceiling Limitation.
 Action is not within Financial Program and Ceiling Limitation (Attach justification/recommendation for action).

9. Approval of Immediate Supervisor or next Higher Level Official.

Signature and Title *Date*

REVIEW / CONCURRENCE REQUIRED
(Attach Comments/Recommendations as appropriate)

Budget	<p><input type="checkbox"/> Within Financial Program and Ceiling Limitations</p> <p><input type="checkbox"/> Not within Financial Program and Ceiling Limitations (Explanation attached)</p> <p>_____</p> <p style="text-align: center;"><i>Budget Officer/Designated Representative</i> <i>Date</i></p>
--------	---

Management Analysis or Organization and Manpower Advisory Group (OMAG)	<p><input type="checkbox"/> Within assigned function and organizationally sound</p> <p><input type="checkbox"/> Is not within assigned function (Explanation attached)</p> <p><input type="checkbox"/> Is not organizationally sound</p> <p>_____</p> <p style="text-align: center;"><i>Management Analysis/OMAG Designated Representative</i> <i>Date</i></p>
--	---

MANAGEMENT SYSTEMS

Program Accomplishments Reporting System

5. PROGRAM ACCOMPLISHMENTS REPORTING SYSTEM

5.1 Purpose. The Program Accomplishments Reporting System (PARS) is a Management information system which is designed to measure and report program accomplishments, resource utilization, and significant variances between planned and actual program accomplishments and resource utilization. Basically, it will provide a management tool for program control and accountability.

5.2 Authority. Policies, procedures, and instructions in this BIAM part are published in accordance with the authority delegated to the Commissioner by the Assistant Secretary - Indian Affairs in 230 DM. Compliance by all organizational entities of the Bureau with the provisions of this part is therefore mandatory.

5.3 Definitions.

A. Accrued Expenditures - A dollar figure which represents the total of Disbursements (payments) and Accounts Payable (services and materials received but not paid for).

B. Line Officer (Official) - Assistant Secretary - Indian Affairs, Commissioner of Indian Affairs, Area Director, Agency Superintendent, and other positions to which full line authority has been delegated.

C. Obligation - A dollar figure which represents the total of Disbursements, Accounts Payable, and Undelivered Orders (services and materials ordered but not received).

D. Performance Indicator - A quantitative measure of a completed program task(s) which can be used as a measurement of program accomplishment.

E. Program - Any legislatively authorized function or service of a continuing nature which the Bureau of Indian Affairs is authorized to administer for the benefit of Indians.

F. PARS - The acronym for Program Accomplishments Reporting System. PARS is an overall Bureau management information system designed for brevity and timeliness to be used by Bureau Managers (1) to control Bureau operations, funding, and staffing; and (2) to provide accomplishments and resource utilization information most frequently needed at higher levels of the Federal Government.

G. Program Accomplishments Review - A meeting with line and program staff officials to discuss data submitted on the Program Accomplishments Plan/Report (Form 5-3308). See Illustration 1. The primary purpose shall be to identify weaknesses and required adjustments to program execution to better achieve accomplishments.

MANAGEMENT SYSTEMS

Program Accomplishments Reporting System

5.4 Objectives.

A. To provide a process for reporting program accomplishments in a consistent, concrete, timely, and systematic manner.

B. To provide the Commissioner and the Assistant Secretary - Indian Affairs with accomplishments data which is consistent Bureauwide, can be validated, and represents a summary of progress as indicated by selected performance indicators for each program.

C. To establish performance indicators which reflect the most significant accomplishments and to provide concrete information sought by Congress, by higher levels of Executive Branch management, and the public.

D. To provide quantitative indicators for evaluating program performance.

E. To strengthen the elements of planning, control, and accountability for all Bureau programs at all organizational levels.

5.5 Agency Responsibilities and Procedures.A. General.

(1) The Agency Superintendent is accountable and responsible for the success and smooth operation of the Program Accomplishments Reporting System (PARS). The Superintendent shall:

(a) Appoint a PARS Coordinator to ensure that accomplishments plans and reports and variance reports are prepared and submitted on schedule.

(b) Develop internal procedures for implementation of all phases of the PARS.

(c) Review annual accomplishments plans and quarterly accomplishments and variance reports for submission to the Area Office.

(2) The PARS Coordinator shall:

(a) Ensure that accomplishments plans and reports and variance reports (if necessary) for each program are submitted in compliance with the reporting schedule shown in Illustration 3.

(b) Check plans and reports for completeness and compliance with instructions.

MANAGEMENT SYSTEMS
Program Accomplishments Reporting Systems

(c) Bring problems or irregularities to the attention of the Superintendent.

(d) Coordinate meetings of Agency program managers and the Superintendent to discuss program plans, accomplishments and variances.

(3) Each program manager shall:

(a) Prepare an annual accomplishments plan and quarterly accomplishments and variance reports for his/her program.

(b) Participate in planning and program review meetings with the Superintendent.

(c) Submit plans and reports to the PARS Coordinator.

(d) Maintain copies of Agency reports and plans and source documents which validate PARS data entries.

(4) Each Contracting Officer's Representative (COR) shall:

(a) Obtain data on contracted programs or contracted portions of programs.

(b) Prepare and/or coordinate preparation of contracted program accomplishments plans and reports and variance reports with program managers.

B. Program Accomplishments Plans. The Agency shall prepare an annual accomplishments plan for each program using Form 5-3308 (See Illustration 1 for a sample of this form and instructions for completion). This plan shall be:

(1) Prepared using the mandatory performance indicators established for each program (See Illustration 2 for a list of indicators).

(2) Prepared concurrently with the financial program for the operating fiscal year.

(3) Prepared using the most current funding information for the operating fiscal year.

(4) Revised and updated quarterly if changes in allocations or authorizations occur. Other changes may be made to reflect changed circumstances; e.g., a drop in the number of employees. Changes of this type must also be included in revised reports.

MANAGEMENT SYSTEMS
Program Accomplishments Reporting System

C. Accomplishments and Variance Reports.

(1) Each program manager shall:

(a) Collect data and record accomplishments for each performance indicator.

(b) Prepare a quarterly accomplishments report.

(c) Complete a variance report for any variance of 10% or more from the planning figures projected in the program accomplishments plan.

(2) Each Agency Superintendent shall:

(a) Certify the completed accomplishment and variance reports and forward them to the Area Office.

(b) Review the accomplishments and variance reports and discuss them with the program managers to assess progress or deficiencies and determine corrective actions or adjustments to be made.

5.6 Area Office Responsibilities and Procedures.

A. General.

(1) The Area Director is accountable and responsible for the success and smooth operation of the Program Accomplishments Reporting System (PARS). The Area Director shall:

(a) Appoint a PARS Coordinator to ensure that accomplishments plans and reports and variance reports are prepared, consolidated, and submitted on schedule.

(b) Develop internal procedures for implementation of all phases of the PARS.

(c) Review annual accomplishments plans and quarterly accomplishments and variance reports with Agency Superintendents and Area program managers.

(d) Approve and certify consolidated Area accomplishments plans and reports and variance reports for submission to the Central Office.

(2) The PARS Coordinator shall:

MANAGEMENT SYSTEMSProgram Accomplishments Reporting System

(a) Ensure that accomplishments plans and reports and variance reports for each program are submitted in compliance with the reporting schedule as shown in Illustration 3.

(b) Check plans and reports for completeness and compliance with instructions.

(c) Bring problems or irregularities to the attention of the Area Director.

(d) Coordinate meetings of Agency Superintendents, Area program managers and the Area Director to discuss program accomplishments and variances.

(3) Each program manager shall:

(a) Review and consolidate accomplishments plans and reports and variance reports.

(b) Participate in planning and program review meetings with the Area Director.

(c) Submit consolidated plans and reports to the PARS Coordinator.

(d) Maintain copies of Agency and Area reports and plans and Area source documents to validate PARS data, as necessary.

B. Program Accomplishments Plans and Reports.

(1) Program managers at the Area Office who are responsible for operating programs have the same responsibilities for preparing PARS plans and reports as those outlined in sections 5.5B and 5.5C.

(2) Program managers at the Area Office who have only staff (as opposed to operating) responsibilities shall also complete the PARS plans and reports for their respective offices. However, they shall insert "N/A" in all performance indicator columns, as staff performance is not measured by these indicators. They shall complete funding and staff data only.

C. Consolidated Accomplishments and Variance Reports.

(1) Each program manager shall:

(a) Review Agency and Area quarterly reports for his/her respective program.

MANAGEMENT SYSTEMS

Program Accomplishments Reporting System

(b) Prepare a consolidated Area quarterly accomplishments report for his/her program, using Form 5-3308.

(c) Prepare a consolidated variance report for his/her program, using Form 5-3309, Program Accomplishments Variance Report (see Illustration 1, page 3). This variance report will list those Agency or Area program offices where variances in accomplishments are 10% or more above or below the planned accomplishment level for that period.

(2) The Area Director shall:

(a) Certify the consolidated accomplishments and variance reports.

(b) Forward the consolidated reports to the Central Office.

(c) Furnish, as requested, copies of reports to the Tribe(s) served.

(d) Review accomplishments and problems highlighted in the consolidated reports.

(e) Meet with Agency Superintendents and Area program managers to discuss solutions or deficiencies and to initiate corrective actions.

5.7 Central Office Responsibilities and Procedures.

A. General.

(1) The Commissioner shall:

(a) Establish Bureauwide policies and procedures to be followed in managing the PARS.

(b) Establish mandatory performance indicators and approve revisions.

(c) Conduct periodic budget execution and management reviews.

(2) The Chief, Division of Management Research and Evaluation shall:

(a) Act as PARS Coordinator.

(b) Receive all PARS reports.

(c) Ensure that all PARS reports are distributed as follows:

MANAGEMENT SYSTEMS

Program Accomplishments Reporting System

(i) A complete set of plans and reports for each program will be sent to the appropriate program manager.

(ii) A complete set of all plans and reports will be sent to the Assistant Director, Financial Management.

(3) Each program manager:

(a) Who is responsible for operating programs will have the same responsibilities for preparing PARS plans and reports as those outlined under part 5.5--Agency Responsibilities.

(b) Who has only staff (as opposed to operating) responsibilities will also complete the PARS plans and report for his/her respective offices. However, each will insert "N/A" in all performance indicator columns as staff performance is not measured by these indicators. Each will complete the funding and staff data.

(c) Is responsible for recommending program performance indicators and any revisions, deletions, or additions thereto.

B. Program Accomplishments Plans.

(1) Each program manager shall:

(a) Prepare a Bureau plan for his/her program. The plan will be prepared by consolidating Area Office and Central Office plans.

(b) Submit the plan to the PARS Coordinator.

(c) Maintain a file of program plans for his/her program.

(d) Update the Bureau plan as necessary.

(2) The PARS Coordinator shall:

(a) Review the Bureau plans for completeness and consistency with instructions.

(b) Submit a set of Bureau plans to the Commissioner.

(c) Maintain the master file for all Area Office, Central Office, and Bureau plans and any revisions to them.

MANAGEMENT SYSTEMS

Program Accomplishments Reporting System

(3) The Assistant Director, Financial Management, shall:

(a) Review all plans to insure that funding and staffing information is correct.

(b) Advise the PARS Coordinator if adjustments to funding and staff data are necessary.

C. Program Accomplishments and Variance Reports.

(1) Each program manager shall:

(a) Prepare a Bureau accomplishments report for his/her program. The report will be prepared by consolidating Area Office and Central Office reports.

(b) Prepare a consolidated variance report for his/her program, using Form 5-3309. This variance report will list those Agency, Area, or Bureau program offices where variances in accomplishments are 10% or more above or below the planned accomplishment level for that period.

(c) Submit Bureau accomplishments and variance reports to the PARS Coordinator.

(d) Maintain a file of his/her program reports.

(2) The PARS Coordinator shall:

(a) Review Bureau accomplishments and variance reports for completeness and consistency with instructions.

(b) Submit a set of all Bureau accomplishments and variance reports to the Commissioner.

(c) Maintain the master file for all Area Office, Central Office and Bureauwide reports.

(d) Coordinate the preparation and dissemination of necessary correspondence or instructions covering decisions for corrective actions and adjustments as approved by the Commissioner.

Form 5-330B

February 1980

(1) REPORTING LEVEL
CENTRAL OFFICE
AREA OFFICE
AGENCY OFFICE

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS

(2) DATE

PROGRAM ACCOMPLISHMENTS PLAN/REPORT (3) FISCAL YEAR: 19

(4) PROGRAM

(5) ORGANIZATION

PERFORMANCE INDICATOR (6)	OPN. CODE (11)	ANNUAL PLAN (12)	ADJ ANNUAL PLAN (13)	TOTAL ACTUAL CUMUL (14)	FIRST QUARTER		SECOND QUARTER		THIRD QUARTER		FOURTH QUARTER		% VARIANCE FROM PLAN (23)
					PLAN (15)	ACTUAL (16)	PLAN (17)	ACTUAL (18)	PLAN (19)	ACTUAL (20)	PLAN (21)	ACTUAL (22)	
(7) STAFFYEARS ATTRIBUTED TO ABOVE MEASURED ACTIVITY													
(8) STAFFYEARS ATTRIBUTED TO NON-MEASURED ACTIVITY													
(9) OBLIGATIONS - BIA APPROPRIATED													
(10) OBLIGATIONS - OTHER SOURCES													

Report 33-06

(24) Certified Correct

Date:

INSTRUCTIONS FOR COMPLETING FORM 5-3308
PROGRAM ACCOMPLISHMENTS PLAN/REPORT REF: 33 BIAM 5

ITEM NO.

INSTRUCTIONS

- (1) Enter check (✓) opposite appropriate reporting level.
- (2) Enter beginning date of fiscal year for Accomplishments Plan; or Enter last day of reporting period for Quarterly Accomplishments Reports.
- (3) Enter fiscal year the plans/accomplishments are operational.
- (4) Name of submitting program office (e.g., Branch of Social Services).
- (5) Name of submitting organization (i.e., Central Office Directorate; Area Office; or Agency Office and respective Area Office).
- (6) Enter prescribed titles of standard work indicators, as established and defined for Bureau-wide use in Form 5-3308.
- (7) Enter (best estimate of) number of staffyears planned or expended for measured activity. Include all types of employment, i.e., permanent, temporary, furlough, part-time, intermittent, etc.
- (8) Enter (best estimate of) number of staffyears planned or expended for all activity not included in measured indicators, Item 7 Plus Item 8 should equal total personnel staffyears used during the period. Include all types of employment as in Item 7.
- (9) Enter planned and actual obligations of BIA appropriated funds for the entire program at the organizational level submitting the report. For Accomplishments Plan enter estimate based upon latest funding information (tentative or actual). For Accomplishments Report enter total obligations as determined from all obligating documents prepared during reporting period.
- (10) Enter planned/actual obligations of funds available to BIA for operation of the program(s) which are not directly appropriated by the Congress to the BIA. (This will include, for example, such things as flow-through funds appropriated to HEW; IMPL funds, etc.).
- (11) Enter appropriate operational code for each performance indicator:
Code A BIA Operated
Code B Contract Operated
Code C Combination
- (12) Enter the planned accomplishments for the fiscal year.
- (13) Enter adjusted quantitative objective (reasons for the adjustment must be documented in accordance with instructions contained in 33 BIAM 5).
- (14) Column 14 is a cumulative total of accomplishments to date.
- (15) Columns 15, 17, 19, 21: Enter the planned accomplishments for the quarter.
- (16) Columns 16,18,20,22: enter the actual planned accomplishments for the quarter.
- (23) Divide the actual accomplishments by the planned accomplishments for the reporting quarter, subtract the resulting percentage from 100% and enter the resulting figure in this column. Form 5-3309 "Program Accomplishments Variance Report," must be completed for all variances of 10% or more.
- (24) To be signed by submitting line officer as certification of correctness of data entries on this form and any attachments to it.

Form 5-1309
February 1980

(1) REPORTING LEVEL
CENTRAL OFFICE
AREA OFFICE
AGENCY OFFICE

UNITED STATES DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS

(2) DATE

PROGRAM ACCOMPLISHMENTS VARIANCE REPORT

(3) FISCAL YEAR: 19

(4) PROGRAM

(5) ORGANIZATION

ORGANIZATION (6)	PERF INDR (7)	% VARIANCE (8)	REASON FOR VARIANCE (9)	ACTION TAKEN OR TO BE TAKEN (10)	TARGET DATE (11)	RESPONSIBILITY (12)

Report 33-07

INSTRUCTIONS FOR COMPLETING FORM 5-3309
PROGRAM ACCOMPLISHMENTS VARIANCE REPORT

- | <u>ITEM NO.</u> | <u>INSTRUCTIONS</u> |
|-----------------|--|
| (1) | Enter check (✓) opposite appropriate reporting level. |
| (2) | Enter beginning date of fiscal year for Accomplishments Plan; or enter last day of reporting period for Quarterly Accomplishments Reports. |
| (3) | Enter fiscal year the plans/accomplishments are operational. |
| (4) | Name of submitting program office (e.g., Branch of Social Services). |
| (5) | Name of submitting organization (i.e., Central Office Directorate; Area Office; or Agency Office and respective Area Office). |
| (6) | For consolidated reports only. List operating offices with variances of 10% or more on consolidation reports. |
| (7) | List the identification number of each performance indicator reflecting a variance of 10% or more. |
| (8) | Enter percentage variance from column (23) Form 5-3308. |
| (9) | Enter brief but specific explanation of reason for variance. |
| (10) | Enter brief but specific explanation of action taken or planned to resolve variance. |
| (11) | Enter date action described in Item 10 was taken or the target date established for completion. |
| (12) | Identify official title of person responsible for carrying out action described in Item 10. |

PAHS Performance Indicators

Program: Social Services

Requirement: Report data for both Bureau-operated and contracted programs.

<u>Performance Indicator</u>	<u>Source Document</u>	<u>Reporting Period</u>	<u>Measure and Definition</u>
1. Persons receiving financial Assistance	SF-1034 Case Records Worker Day Sheets	Quarterly	Number of persons including family members benefiting from BIA financial assistance grants (general assistance, TMEP, adult institutional care, and miscellaneous financial assistance during) the period.
2. Children receiving Child Welfare Assistance	SF-1034 Case Records Worker Day Sheets	Quarterly	Number of BIA financial assistance grants for foster home and institutional care for dependent and handicapped children in accordance with applicable eligibility standards during the period
3. Children receiving services from P. L. 95-608	SF-424 Worker Day Sheets Other forms to be developed	Quarterly	Number of children receiving services; operation of facilities, counseling and family assistance services; court services; technical assistance; legal representation; home improvement. For FY 1980 this includes programs funded from on-going child welfare funds.
4. Persons receiving social services only	Case Records Worker Day Sheets	Quarterly	Number of persons provided social services counseling (excluding general assistance TMEP, child welfare assistance, adult institutional care, miscellaneous assistance, and IIM financial planning) during the period.
5. IIM accounts supervised under 104.4, 104.5 and 104.9	SF-1398 Case Records Worker Day Sheets Certification by Superintendent, letter of notification	Quarterly	Number of persons provided financial planning assistance for their income from trust resources account active in quarterly
6. Technical assistance provided	Worker Day Sheets Other forms to be developed	Quarterly	Number of contacts with tribes, tribal/Indian organizations or groups, and other federal, state, local or private agencies or organizations to assist them in providing services to Indian people. Excludes those contacts that are made on the behalf of individual clients.

PAKS Performance Indicators

Program: Fisheries

<u>PERFORMANCE INDICATOR</u>	<u>SOURCE DOCUMENT</u>	<u>REPORTING PERIOD</u>	<u>MEASURE AND DEFINITION</u>
1. Fish produced in Tribal Fish Hatcheries	Contract Report	Quarterly	Number of fish produced to release size in tribal fish hatcheries.
2. Fish produced in Tribal Fish Hatcheries	Contract Report	Quarterly	Pounds of fish produced to release size in tribal fish hatcheries.
3. Other Fish Production	To be Developed	Quarterly	Number of fish produced in fish hatcheries other than in tribal facilities but which are released in waters under tribal jurisdiction.
4. Fisheries Enforcement	Officer's Reports	Quarterly	Number of arrests, citations, and warnings issued for violations of fishing regulations during period.
5. Treaty Fishing Tribal Rolls.	Completed Rolls	Annually	Number of tribal rolls completed in compliance with Treaty Fishing Rights requirements.

PARS Performance Indicators

Program: Law Enforcement

Requirement: Report data for both Bureau operated and contracted program.

<u>Performance Indicator</u>	<u>Source Document</u>	<u>Reporting Period</u>	<u>Measure and Definition</u>
1. Felonies Investigated	5-6825	Quarterly	Number of felony complaints investigated by program staff.
2. Misdemeanors Investigated	5-6825	Quarterly	Number of misdemeanor complaints investigated by program staff.
3. Non-Enforcement responses.	Officer's Log	Quarterly	Instances of services rendered during the year for reasons other than the investigation of Federal or non-Federal criminal complaints.
4. Detention Days	To Be Developed	Quarterly	Number of persons incarcerated each day, whether for all or part of the day. Exclude time spent in special rehabilitation centers.
5. Arrests	5-6825	Quarterly	Number of persons arrested by the program staff. Note: No plan data is to be entered on Form 5-3308.

PARS Performance Indicators

Program: Personnel Management

Requirement: Report for both Bureau operated and contracted programs.

<u>Performance Indicator</u>	<u>Source Document</u>	<u>Reporting Period</u>	<u>Measure and Definition</u>
1. Positions Reviewed/ Classified	OF-8 Master File Classification Log	Quarterly	Number of positions that have been reviewed and/or classified by personnel/classification specialists. This includes all positions processed as individual actions or on a group action request list (e.g., a mass change, part of the annual cyclic audit survey, etc.). Do not include vice and I.A. actions.
2. Qualification Ratings	SF-171 Applicant Supply File Open-Continuous File P.O.B. File	Quarterly	Report number of applications rated. This includes counting each option (requiring the application of different qualification criteria) for which the application was rated.
3. Adverse Actions, Grievances and Appeals	Case Files Office Log	Quarterly	Number of adverse actions, grievances and appeals for which decisions have been rendered and final action taken. (Includes those that were resolved informally).
4. Employee Development	OF-170 Individual Training Plans	Quarterly	Number of employees who completed training sessions conducted by either Internal or external sources.
5. Personnel Management Evaluation Surveys	Summary PME Reports	Quarterly	Number of Personnel Management Evaluation Surveys made for which summary reports have been issued.
6. Official Personnel Actions	SF-50 SF-50-A SF-9-500 SF-52	Quarterly	Number of personnel actions for which Standard Form 50, 50A, or 9-500, are generated. Plus any SF 52 documents which result in a personnel action for which no SF-50 or equivalent is produced.

PARS Performance Indicators

Program: Forestry

<u>Performance Indicator</u>	<u>Source Document</u>	<u>Reporting Period</u>	<u>Measure and Definition</u>
1. Timber Harvested	5-5309	Quarterly	Number of MMBF (in whole numbers) volume of timber actually cut during the period under contract, paid permit, special allotment timber cutting permit, and free use permit. Exclude specialty forest products such as Christmas trees, posts, pilings, etc.
2. Timber Sales Contracts and SATCs Administered	5-5313	Annual	Number as defined in the annual forestry report instructions.
3. Forest Products Permits Issued	5-5313	Quarterly	Number of cash, free use and special allotment timber cutting permits issued.
4. Timber Stand Improvement	5-5313	Annual	Number of acres of timber improved by seeding, thinning, pruning, reforestation, etc.
5. Forest Protection	5-5313	Annual	Number of acres protected from fire, disease, insects and trespass.
6. Fires Suppressed	DI-1201	Quarterly	Number of fires suppressed.

PARS Reporting Schedule

<u>Due Date</u>	<u>Report Due</u>	<u>Preparing Office</u>	<u>Receiving Office</u>
Aug. 15	Accomplishments Plan Form 5-3308	Agency	Area
Sept. 1	Accomplishments Plan (Consolidated) Form 5-3308	Area	Central
Sept. 15	Accomplishments Plan (Bureau Consolidation) Forms 5-3308 5-3309	MR&E	Commissioner
Oct. 5	Fourth Quarter (prior year) Accomplishments and Variance Reports (Consolidated). Forms 5-3308 and 5-3309	Area	Central
Oct. 25	Fourth Quarter (prior year) Accomplishments and Variance Reports (Bureau Consolidation). Forms 5-3308 and 5-3309	Agency	Area
Jan. 5	First Quarter Accomplishments and Variance Reports. Foms 5-3308 and 5-3309	Agency	Area
Jan. 15	First Quarter Accomplishments and Variance Reports (Consolidated). Forms 5-3308 and 5-3309	Area	Central
Jan. 25	First Quarter Accomplishments and Variance Reports (Bureau Consolidation). Forms 5-3308 and 5-3309	MR&E	Commissioner
April 5	Second Quarter Accomplishments and Variance Reports. Forms 5-3308 and 5-3309	Agency	Area

PARS Reporting Schedule

<u>Due Date</u>	<u>Report Due</u>	<u>Preparing Office</u>	<u>Receiving Office</u>
April 15	Second Quarter Accomplishments and Variance Reports (Consolidated). Forms 5-3308 and 5-3309	Area	Central
April 25	Second Quarter Accomplishments and Variance Reports (Bureau Consolidation). Forms 5-3308 and 5-3309	MR&E	Commissioner
July 5	Third Quarter Accomplishments and Variance Reports. Forms 5-3308 and 5-3309	Agency	Area
July 15	Third Quarter Accomplishments and Variance Reports. (Consolidated). Forms 5-3308 and 5-3309	Area	Central
July 25	Third Quarter Accomplishments and Variance Reports. (Consolidated). Forms 5-3308 and 5-3309	MR&E	Commissioner