

# INDIAN AFFAIRS MANUAL

**1.1 Purpose.** This chapter provides a general overview of the performance management responsibilities carried out by the Performance Planning Office (PPO) within the Office of Budget and Performance Management (OBPM). These responsibilities include providing performance data and reporting processes that support planning and management decisions, and facilitating Indian Affairs' (IA) compliance with federal requirements to ensure accountability and effectiveness of IA programs.

The collection of Government Performance and Results Act (GPRA) of 1993 performance information is a collaborative effort among federal and tribal partners. Timely, accurate, and appropriate performance information is essential to successful performance management of IA programs. Tribal governments or tribal organizations operating IA programs under grants, contracts or compacts authorized by the Indian Self-Determination and Education Assistance Act, as amended (25 U.S.C. § 5301 *et seq.*) are required to comply with policies and procedures if required by statute or regulation.

**1.2 Scope.** Performance management responsibilities apply to all programs and offices under the authority of the Assistant Secretary - Indian Affairs (AS-IA), including the offices under the AS-IA, the Bureau of Indian Affairs (BIA) and the Bureau of Indian Education (BIE).

**1.3 Policy.** It is the policy of IA to comply with all applicable federal laws and regulations and Departmental policies and procedures regarding performance management and ensure that resources are available to facilitate compliance.

**1.4 Authority.**

**A. Statutes and Regulations.**

- 1) Public Law (P.L.) 103-62, GPRA of 1993
- 2) P.L. 111-352, GPRA Modernization Act (GPRAMA) of 2010
- 3) P.L. 103-355, Federal Acquisition Streamlining Act (FASA) of 1994
- 4) P.L. 104-106, Clinger-Cohen Act of 1996
- 5) 25 U.S.C. Chapter 46, Indian Self-Determination and Education Assistance

**B. Guidance.**

- 1) Office of Management and Budget (OMB) Circular A-11, Preparation, Submission and Execution of the Budget

## INDIAN AFFAIRS MANUAL

Part 20  
Chapter 1

Performance Management  
Overview

Page 2

- 2) OMB Circular A-130, Management of Federal Information Resources
- 3) OMB Circular A-136, Financial Reporting Requirements
- 4) OMB Capital Programming Guide, Supplement to Circular A-11, August 2011
- 5) Executive Order (EO) 13450, Improving Government Program Performance, November 13, 2007
- 6) EO 13576, Delivering an Efficient, Effective, and Accountable Government, June 13, 2011
- 7) OMB Memorandum M-10-24, Performance Improvement Guidance: Management Responsibilities and Government Performance and Results Act Documents
- 8) OMB Memorandum M-10-32, Evaluating Program for Efficacy and Cost-Efficiency
- 9) OMB Memorandum M-11-17, Delivering on the Accountable Government Initiative and Implementing the GPRA Modernization Act of 2010
- 10) OMB Memorandum M-11-31, Delivering an Efficient, Effective, and Accountable Government
- 11) Statement of Federal Financial Accounting Standard #4: Managerial Cost Accounting Standards and Concepts (SFFAS-4)
- 12) DOI Strategic Planning Guidance
- 13) The GPRA and Performance Management Guidelines
- 14) DOI Data Validation and Verification (V&V) Certification Guidance

### 1.5 Responsibilities.

- A. **AS-IA** is responsible for ensuring that IA establishes appropriate organizational programs and functions with adequate staffing and resources, policies, and procedures to comply with federal and Departmental regulations, requirements, policies, and procedures as they relate to performance management.
- B. **IA Chief Financial Officer** is responsible for fulfilling the statutory requirements of the Chief Financial Officers Act of 1990 (CFO Act) and GPRA, including compliance

## INDIAN AFFAIRS MANUAL

with such policies and requirements as may be prescribed by the OMB, and the systematic measure of performance.

- C. **Deputy Assistant Secretaries and Directors, BIA and BIE** are responsible for ensuring that IA processes and resources are in place to facilitate cooperation and responsiveness to performance management requirements; and communicating with and managing Regional Director and staff participation in performance management response/development as needed.
- D. **OBPM** is responsible for providing leadership and oversight for performance management; coordinating development of strategic plans and annual reports in support of GPRA; determining the reliability of GPRA-related performance measures; evaluating IA programs for effectiveness; and providing guidance and technical assistance.
- E. **PPO** is responsible for planning, performance management, and reporting requirements initiated by the Administration and the Department of the Interior (DOI). The office works closely with IA leadership, the DOI Planning and Performance Management (PPP) office, and IA programs to facilitate meeting statutory planning and performance management requirements; responding to Administration performance improvement initiatives; and assisting the organization in becoming a more results-oriented and performance-based organization.
- F. **PPO Desk Officers** serve as liaisons for individual program offices and are responsible for the coordination of the performance management process, providing guidance and technical assistance, and the review and quality control of submitted performance information.
- G. **IA Program Offices**, including offices under the AS-IA, BIA, and BIE, and those located at central, regional, district and agency offices that collect, and report performance-related data are responsible for:
  - 1) reviewing their key functions and developing measures and targets that enable them to accomplish those functions efficiently, effectively, and in-line with the IA and the DOI's mission areas and outcome goals;
  - 2) collecting accurate and complete performance data for the measures and targets established, including establishing appropriate *processes* to collect performance data;
  - 3) validating and verifying the accuracy and completeness of the data using, at a minimum, the DOI's suggested Validation and Verification (V&V) process, and collecting *evidence* of validation and verification of data—including backup information and narratives that support submitted performance data; and

- 4) certifying (by regional and bureau performance management contacts/managers) that all performance data submitted is accurate and complete, including the ability to provide certification of an established V&V process and evidence to support submitted data.

## 1.6 Standards, Requirements, and Procedures.

### A. Performance Management Overview.

PPO functions are primarily based on mandates that are outlined in the GPRA of 1993 and the GPRA Modernization Act of 2010. The principle aim of GPRA is to improve organizational effectiveness by holding federal agencies accountable for articulating priorities, measuring progress, and achieving program results.

GPRA requires federal agencies conduct comprehensive strategic and operational planning, detailed data collection, rigorous analysis, evidence-based reviews of progress, and formulation of an annual budget that utilizes performance-based data and analysis.

### B. Summary of PPO Functions.

#### 1) Strategic Plan Collaboration and Consolidation

GPRA requires agencies to develop a strategic plan. The strategic plan is an agency's long-term view of its programs and performance goals, covering a period of at least five years and updated every three years; this requirement is fulfilled through preparation of DOI's strategic plan. The AS-IA may also develop an IA plan that is tailored to the needs in Indian country, and which aligns to the goals in DOI's strategic plan. PPO's role in these planning efforts includes designing and implementing planning processes; ensuring that appropriate stakeholders are represented; providing information and analytical support; and coordinating the development of planning documents that result from the planning activities.

#### 2) Annual Performance Plan and Report (APP&R)

GPRA also requires agencies to develop an annual performance plan and report. The APP&R is submitted as a companion document with DOI's budget request to Congress. PPO's role in the preparation of the DOI APP&R includes drafting guidance to the programs, providing analytical support to strengthen program submissions, and consolidating program information into the IA submission to DOI.

# INDIAN AFFAIRS MANUAL

## 3) Performance Budget Formulation

The PPO integrates performance planning with the IA budget to support resource allocation decisions during the budget cycle. PPO works closely with OMB and all IA programs to align actual costs and projected budget figures to baseline and planned performance for the subsequent four years. The PPO works with OMB in preparing the budget to keep the focus on performance, for submission to OMB.

## 4) Indian Affairs - Performance Management System (IA-PMS)

The PPO coordinates IA performance reporting processes to respond to internal reporting requirements. Internal reporting requirements include quarterly submissions to the IA-PMS and to the DOI's performance management information system, Budget Formulation and Execution Manager (BFEM). The IA-PMS is the system of record for reporting and analyzing data collected on IA programs. The system consists of performance measures, measure definition templates, and targets for monitoring program success.

## 5) Program Reviews

PPO facilitates periodic program reviews to determine the status of program activities and performance. These reviews help IA leadership determine the levels of success being achieved by programs; gaps between desired and actual performance; challenges that must be addressed; and priorities for future actions. Program reviews are useful for evaluating the program adjustments that are necessary in order to achieve desired goals. IA-PMS provides quarterly reports on strategic plan and bureau-specific measures in order to monitor the progress of the programs in relation to established targets. The APP&R submission to the DOI provides an overall view of each program's management status regarding these measures in relation to the budget and meeting established targets.

## Approval

JASON FREIHAGE  Digitally signed by JASON  
FREIHAGE  
Date: 2024.09.23 11:30:00 -04'00'

Jason Freihage  
Deputy Assistant Secretary – Management

Date