

INDIAN AFFAIRS MANUAL

1.1 Purpose. This chapter provides policy and process guidance regarding program reviews as required by the Government Performance and Results Act (GPRA) of 1993 and the GPRA Modernization Act of 2010 (GPRAMA), and Indian Affairs (IA) responsibilities in conducting those reviews. The Office of Management and Budget (OMB) guidance and GPRAMA state that government programs are to be assessed using a program assessment review. Once a program is assessed, the recommendations from that assessment are reviewed annually for progress and updates. The program data review is a retrospective look at program performance and answers the question: “What did a program accomplish with the funding provided?”

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

The collection of GPRA performance information is a collaborative effort among federal and tribal partners. The collection of timely, accurate, and appropriate performance information is essential to successful performance management of federal Indian and Alaska Native 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. §450 *et seq.*) are required to comply with policies and procedures if required by statute or regulation.

1.3 Policy. It is the policy of IA to comply with all applicable federal laws, regulations and Department of the Interior (DOI) policies and procedures regarding programs performance reviews and assessments.

1.4 Authority.

A. P.L. 103-62, Government Performance and Results Act of 1993 (GPRA)

B. P.L. 111-352, GPRA Modernization Act of 2010 (GPRAMA)

C. Executive Order 13450--Improving Government Program Performance, November 13, 2007

1.5 The Data Driven Performance Review Process. GPRA and GPRAMA, as well as OMB, require program evaluations to assess the effectiveness of a program’s purpose, strategic plan linkage, overall management, and achievement of results. Data driven reviews help programs assess what is working well and what can be improved, and reiterate the importance of implementing a continuous improvement framework for government programs’ overall success. The IA Office of Planning and Performance Management (OPPM) facilitates the data driven performance reviews for IA.

Ideally, performance measures should be developed for each significant element of a program’s mission. The review process includes historical performance data for each

program measure. While data is the focal point of discussion, non-quantitative information also plays a role. Collection of performance data may also include tribal data reported through the P.L. 93-638 process.

The quarterly performance review is conducted via conference calls with program personnel from the Regional Offices, Agencies, and Central Office to ensure consistency and accuracy of the review and its results. As part of the performance assessment, program representatives must provide a performance narrative, and when necessary, “steps to improve” to address target shortfalls and a process to improve efficiency. Identification of program challenges and key milestones are essential outcomes to this process. The review outcomes may also enable programs to identify regulations, policies, and practices that are working well, as well as those in need of improvement.

A certification process of the data, and supporting evidence, includes a review at the Agency, Regional, Central Office and Bureau Director level, and should conform to the DOI’s Validation and Verification (V&V) process. Strong evidence is critical to IA’s ability to respond to other reporting requirements as well, including the DOI Strategic Plan, Performance Budget, Annual Performance Plan and Report (APP&R), and public performance management systems. Performance evidence produced from data driven performance reviews may also support the need for a program’s budget increase, or to protect against a budget cut.

Independent program reviews can be conducted by outside sources, but they should be coordinated through OPPM. In addition, if OMB is dissatisfied with a program’s measure(s), the program may be required to create new (or revise current) measures. These new or revised measures are developed in consultation with program offices, tribes, OPPM, and the DOI, and must be approved by OMB. It is important to ensure that IA management is briefed on any changes to measures that occur during any program review.

1.6 Responsibilities.

- A. **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 with such policies and requirements as may be prescribed by the OMB, and the systematic measurement of performance.

- B. **IA Program Offices**, including AS-IA and Bureau Central Offices, Regional or Education Line Offices, Districts, and Agencies that collect and report performance related data are responsible for preparing program reviews to assess program effectiveness and efficiency. Program lead(s) should utilize prior data performance reviews as a basis for improving program purpose and design, strategic planning, management, and results in addition to completing the improvement action plans agreed upon in the initial review.

- C. **OPPM Desk Officers** are responsible for the IA-wide coordination of the process including providing guidance, technical assistance, and overseeing the preparation of the program review in accordance with OMB and DOI requirements. Additionally, OPPM:
1. Ensures Deputy Directors receive summary performance information in advance of the spring budget planning meeting.
 2. Facilitates discussions on program improvements from previous reviews.
 3. Interprets information and assists assigned programs in fulfilling requirements, including: reviewing current measures and targets, and means and strategies to meet performance targets.
 4. Reconciles performance data with budgetary data in the goal performance table, comprehensive tables, and APP&R and coordinates OPPM quality control functions for program review preparation, including reviewing performance materials in accordance with OMB Guidance.
 5. Ensuring program representatives complete performance improvements to address program [improvement] action plans in order to meet program targets.