

# INDIAN AFFAIRS DIRECTIVES TRANSMITTAL SHEET

(modified DI -416)

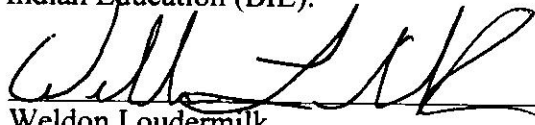
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FOR FURTHER INFORMATION Office of Planning & Performance Management 12220 Sunrise Valley Drive Reston, VA 20191		DATE  AUG 23 2012

**EXPLANATION OF MATERIAL TRANSMITTED:**

OPPM functions are primarily based on mandates that are outlined in the Government Performance and Results Act (GPRA) of 1993 and the GPRA Modernization Act of 2010. GPRA requires federal agencies to 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.

These eight policy chapters provide detailed information regarding OPPM's role in ensuring IA's compliance with these and other related mandates, including planning and reporting requirements initiated by the Administration and the Department of Interior.

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



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**FILING INSTRUCTIONS:**

Remove: None

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- 1.1 Purpose.** This chapter provides a general overview of performance management responsibilities carried out by the Office of Planning and Performance Management (OPPM). 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.
- 1.2 Scope.** Performance management responsibilities apply to all programs and offices under the authority of the Assistant Secretary of Indian Affairs (AS-IA), including AS-IA offices, the Bureau of Indian Affairs (BIA) and the Bureau of Indian Education (BIE).

The collection of Government Performance and Results Act (GPRA) 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. §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 and regulations and Departmental policies and procedures regarding performance management, and ensure that resources are available to facilitate compliance.

## **A. Performance Management Overview**

OPPM 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.

OPPM's responsibilities are also directed by 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, Performance and Policy Office (PPP), and IA programs to facilitate: a) meeting statutory planning and performance management requirements; b) responding to Administration performance improvement initiatives; and c) assisting the organization in becoming a more results-oriented and performance-based organization.

## **B. Summary of OPPM Functions**

The following paragraphs provide an overview of OPPM functions. These functions are described in greater detail in subsequent chapters of Part 20 of the Indian Affairs Manual (IAM):

### **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. OPPM'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.

### **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. OPPM'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.

### **Performance Budget Formulation**

OPPM integrates performance planning with the IA budget to support resource allocation decisions during the budget cycle. OPPM works closely with the Office of Budget and Management (OBM) and all IA programs to align actual costs and projected budget figures to baseline and planned performance for the subsequent four years. OPPM works with OBM in preparing the budget to keep the focus on performance, for submission to the Office of Management and Budget (OMB).

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

OPPM coordinates IA performance reporting processes to respond to internal reporting requirements. Internal reporting requirements include quarterly submissions to the Indian Affairs-Performance Management System (IA-PMS) and to the DOI's performance management information system (PMIS). 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.

### **Activity-Based Costing and Modeling**

OPPM is responsible for maintaining the IA Activity-based Costing System (ABC). ABC models use BIA and BIE resource costs (labor and non-labor dollars) and allocate them to the activities that bureau employees perform in meeting the organization's mission. OPPM then allocates those activity costs to the performance measures based on business rules established by IA program managers. This information is useful in supporting resource allocation and strategy decisions.

### **Program Reviews**

OPPM 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. Annual APP&R reviews and 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.

### **Capital Planning and Investment Control (CPIC)**

IA implemented a comprehensive Capital Planning and Investment Control (CPIC) process to ensure that its investment portfolios for construction capital asset investments address IA and DOI mission goals. OPPM collects and reviews all information received from the Office of Facilities Management and Construction (OFMC) and the Division of Water and Power (DWP), and works with the DOI's Office of Acquisition and Property Management (PAM) and the Office of Budget (POB), to ensure the accuracy of the IA construction portfolio. OPPM also reviews the Quarterly Status Memorandum for all projects that are \$10M or greater.

## **1.4 Authority.**

### **A. Statutes and Regulations.**

- 1) P.L. 103-62, Government Performance and Results Act of 1993 (GPRA)
- 2) P.L. 111-352, GPRA Modernization Act of 2010 (GPRAMA)
- 3) P.L. 103-355, Federal Acquisition Streamlining Act of 1994 (FASA)
- 4) P.L. 104-106, Clinger-Cohen Act of 1996

### **B. Guidance.**

- 1) OMB Circular A-11, Preparation, Submission and Execution of the Budget
- 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 13450--Improving Government Program Performance, November 13, 2007
- 6) Executive Order 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)

## 1.5 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. **Deputy Assistant Secretaries; Director, BIA; and Director, 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.
- C. **IA Program Offices**, including AS-IA and Bureau Central Offices, Regional, 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.
- D. OPPM 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.