

# INDIAN AFFAIRS DIRECTIVES TRANSMITTAL SHEET

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## EXPLANATION OF MATERIAL TRANSMITTED:

This chapter describes the program planning activities required by Indian Affairs (IA), and the support provided by the Office of Planning and Performance Management (OPPM) to facilitate IA's planning efforts.

Program planning is a defined process in which an organization develops a plan to accomplish program goals and/or objectives with specific activities and outcomes that are aligned with an organization's overall mission and strategic direction.

Program planning is required to ensure compliance with federal requirements and to ensure accountability and effectiveness of IA programs. Planning is required for all IA programmatic efforts, including initial program start-ups or initiatives that may be reasonably expected to result in a program if adopted.

Program planning 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:

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# INDIAN AFFAIRS MANUAL

- 1.1 Purpose.** This chapter describes the program planning activities required by Indian Affairs (IA), and the support provided by the Office of Planning and Performance Management (OPPM) to facilitate IA's planning efforts.

Program planning is a defined process in which an organization develops a plan to accomplish program goals and/or objectives with specific activities and outcomes that are aligned with an organization's overall mission and strategic direction. A program planning process should include its own mission and vision statement to communicate overall objectives and priorities of the planning effort. All new or envisioned IA programs should review and draft a program plan in accordance with this IAM prior to obtaining IA leadership approval and allocation of resources for execution.

- 1.2 Scope.** This policy applies to all programs under the authority of the Assistant Secretary - Indian Affairs (AS-IA), the Bureau of Indian Affairs (BIA), and the Bureau of Indian Education (BIE). Planning is required for all IA programmatic efforts, including initial program start-ups or initiatives that may be reasonably expected to result in a program if adopted.

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 program planning, and ensure that resources are available to facilitate compliance.

The Office of Management and Budget (OMB), the DOI Office of Inspector General (DOI-OIG), and the Government Performance and Results Act Modernization Act of 2010 (GPRAMA) all state that government programs are to be planned using a multi-step process that includes: identifying the problem, developing objectives and performance indicators, linking program strategy to the organization's strategic plan, identifying stakeholders and required resources, coordinating program activities with collaborative partners, and soliciting feedback and program evaluation.

**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. OMB Circular A-11, Part 6, Preparation and Submission of Strategic Plans, Annual Performance Plans, and Annual Program Performance Reports
- D. Executive Order 13450--Improving Government Program Performance, November 13, 2007

**1.5 Program Planning Overview.** First and foremost, the program itself, and subsequently program planning, should align with an organization's overall mission and strategic plan. Whether a program is in its initial developmental stages or whether it's been in place for decades, program planning should always tie to IA's vision, mission, and performance goals, and consequently link to the Department's overall mission and goals, as defined in its strategic plan.

Program planning is critical for developing and communicating program direction for the performance year, identifying performance indicators used for assessment, and reiterating the resources available to conduct program operations. As part of the planning effort, it's important to develop a communications plan to ensure that the content of the plan and/or any updating is communicated fully to regional and agency offices that must take action to fulfill program planning and performance assessment requirements.

Program planning can and should be done at least annually as well as on an as-needed basis throughout the year to address new and changing requirements. Additionally, in order to fulfill regulatory and other mandates, IA programs should conduct the following planning sessions as indicated:

- At the time of a program start up. Each new program within IA should review and draft a program plan in accordance with this policy prior to obtaining IA leadership approval and allocation of resources for execution.
- In response to political changes in administration, such as the appointment of a new IA and/or DOI leadership team.
- After every new presidential election in anticipation of strategic plan updates per requirements of the GPRAMA. This review process allows program leadership to review program costs and identify opportunities to improve efficiencies and effectiveness within the program(s).
- Annually as part of the Annual Performance Plan and Report (APP&R) process, which includes reexamining goals and objectives, resources required, and whether current program activities will produce the expected outcome(s).
- Annually as part of the budget process, and as needed, after an appropriation is announced. The planning process assists in budget formulation through well-defined program narrative justification descriptions in the budget request and expected integrated performance objectives communicated in the APP&R.

**1.6 The Program Planning Process.** A planning process should be a collaborative effort among Federal employees that takes into consideration the ideas of tribes and other stakeholders. Critical features to integrate into the planning process include:

- A well-defined process with an identified planning champion (i.e, point of contact);
- Proposed program budget justifications with required funding and manpower resources required to fulfill the program objectives; and,

- Performance indicators, such as measures, key milestones, actions and goals with projected targets to facilitate program evaluation and assessment.
  - Program performance is evaluated and specific data collected in accordance with GPRA and GPRAMA. The collection of GPRA performance information is a collaborative effort among Federal and tribal partners, and the collection of timely, accurate, and appropriate performance information is essential to successful Federal management of American Indian and Alaska Native programs.
  - Program management should utilize prior data performance reviews as a basis for making necessary adjustments to program plans in areas of program purpose and design, strategic planning, day-to-day management, and achieving program results.

An effective program planning process within IA can use one of the four planning models described below, or a combination. There are other planning process models available for use in addition to these four:

- The *collaboration-based model*, which focuses on building and maintaining trust among stakeholders and tribes, establishes a common goal and uses the strengths of the collaborative team to achieve program objectives.
- The *business-based model* uses cost analysis as an essential tool to make managerial decisions when targeting program efficiency in conservation activities.
- The *science-based model* applies evidence resulting from scientific methods to influence decision making.
- The *performance-based model* uses the evaluation of program results to manage organizational performance.

Specifically, a program design process should:

- Identify a champion that will act as the primary sponsor of this program plan within IA.
- Identify key stakeholders that should be involved in the process.
- When applicable, establish a steering committee and/or working group to guide the program planning process.
- Identify problems, including a full explanation of the cause of the problem(s) using data and other material, so informed decisions can be made on how to address the problem(s) throughout the planning process.
- Include a needs assessment, which entails gathering information about current conditions of a targeted area or condition; evaluate assets and resources needed to assist in identifying solutions and/or making improvements.
- Identify program performance indicators, including established and needed (i.e., new) performance measures and reporting protocols, definition templates, and data resources that will produce required performance information.
  - Design the planning process to use data to establish performance targets for use each year.
  - Develop and communicate a data collection plan to address risk factors to be assessed, indicators for measurement, how and where to get the data, responsible

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parties, and expected due dates of completion.

- Develop key performance indicators that have a cross-cutting collaborative element across programs, when applicable.
- Determine funding levels required to support manpower and other resources needed to achieve program goals.
- Identify key challenges and risks associated with executing the program plan.
- Identify roles and responsibilities of program stakeholders to avoid duplicative or redundant efforts.
- Identify a review process, including when decisions should be routed to a higher level of authority such as DOI.
- Include a continuous program review process to identify what's working and where areas for improvement exist. Monitoring is necessary to implement required program adjustments from the initial implementation stage.

Additionally, when applicable, use evidence-based concepts to prove cause and effect, and to ensure resources invested can facilitate positive program results. To ensure accountability, consider methods to assess whether the intended stakeholders and tribes are getting the intended program outcomes and results. And whenever possible, look for cross-cutting methods and approaches with other bureaus and agencies to sustain the program's goals. Finally, ensure the program's goals, objectives, and activities are reported in accordance with mandated guidelines in the IA budget green book and the DOI APP&R document.

### 1.7 Responsibilities.

- A. **IA Senior Management**, including the AS-IA, the BIA and BIE Directors, Deputy Directors, BIE Associate Deputy Directors, and other senior staff, are responsible for establishing IA's overall goals and priorities, in line with IA's mission, DOI's strategic plan, and related administration initiatives, and ensuring that IA program management is aware of, and subsequently conducts, program planning with these goals and objectives in mind. Senior management also ensures that program resources are available to conduct planning efforts and to implement resulting findings.
- B. **IA Chief Financial Officer** is responsible for fulfilling the statutory requirements of the Chief Financial Officers Act of 1990 (CFO Act), GPRA, and GPRAMA including compliance with such policies and requirements as may be prescribed by OMB, and the systematic measurement of program performance.
- C. **IA Central Office Program Directors and Management** should ensure that Regional Offices, Districts, Agencies and any other field staff involved in the program(s) receive regular and timely communications regarding program planning and evaluations, program goals and objectives, changes/updates to programs based on planning and review efforts (or any other efforts that impact program operations), and any other information that program staff need to effectively operate IA programs.

- D. IA Program Offices** including AS-IA and Bureau Central Offices, Regional Offices, Districts, and Agencies are responsible for planning and facilitating and/or participating in program reviews to assess effectiveness and efficiency. IA programs must conduct internal planning sessions to ensure that programs are achieving intended results and are executed in compliance with required Federal guidelines.
- E. OPPM Desk Officers** provide guidance and technical assistance, and oversee the preparation of the program planning and review in accordance with OMB and DOI requirements, including:
- Ensure all Central Office Program Directors/Managers receive appropriate guidance, training, and advice to interpret OMB/DOI performance requirements, including planning requirements.
  - Ensure AS-IA, BIA and BIE Directors, Deputy Directors, BIE Associate Deputy Directors, and program management receive summary performance information on a quarterly basis to facilitate program planning and assessment.
    - Verify accurate program performance data are reconciled with prior data submissions to account for all performance changes.
    - Ensure program staff complete performance improvement action plans to facilitate meeting program targets, as defined in the program’s planning process.
  - Provide technical assistance to any program workgroup in the development of a program planning process, and provide recommendations to facilitate effective program planning and assessment.
  - Provide a draft program planning template (see Attachment 1) in compliance with OMB Circular A-11, GPRA, and GPRAMA that communicates purpose, objectives, goals and expected outcomes.

## Attachment 1

### *Potential Sample Planning Program Startup or Initiative Template*

#### **Background**

[Should provide some background history that identifies a problem the proposed program or initiative if created is to solve; provide current data if possible to help support identified causes.] See the example below<sup>1</sup>:

The United States has a unique political and legal relationship with the federally recognized American Indian and Alaska Native (AI/AN) tribes across the country, as set forth in the Constitution of the United States, treaties, Executive Orders, and court decisions. For centuries, the Federal Government's relationship with these tribes has been guided by a trust responsibility a long standing commitment on the part of our Government to protect the unique rights and ensure the well-being of our Nation's tribes, while respecting their tribal sovereignty. In recognition of that special commitment and in fulfillment of the solemn obligations it entails Federal agencies must help improve educational opportunities provided to all AI/AN students, including students attending public schools in cities and in rural areas, students attending schools operated and funded by the Department of the Interior's Bureau of Indian Education (BIE), and students attending postsecondary institutions including Tribal Colleges and Universities (TCUs). This is an urgent need. Recent studies show that AI/AN students are dropping out of school at an alarming rate, that our Nation has made little or no progress in closing the achievement gap between AI/AN students and their non-AI/AN student counterparts, and that many Native languages are on the verge of extinction.

#### **Mandate**

[If there is an applicable mandate that applies, please state under this section.] See the example below:

The President's Executive Order 13592 establishes the mandate for developing this American Indian and Alaska Native Educational initiative. The overarching mission of this Administration is to: ***“support activities that will strengthen the Nation by expanding educational opportunities and improving educational outcomes for all AI/AN students in order to fulfill our commitment to furthering tribal self-determination and to help ensure that AI/AN students have an opportunity to learn their Native languages and histories and receive complete and competitive educations that prepare them for college, careers, and productive and satisfying lives.”*** In order to fulfill this mission the Executive Order calls for the development of a two part, 4 year

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<sup>1</sup> Source: Executive Order 13592 -- Improving American Indian and Alaska Native Educational Opportunities and Strengthening Tribal Colleges and Universities

plan of the agency's efforts to fulfill the purposes of this order, with part one of the plan focusing on all AI/AN students except for those attending TCUs, and part two focusing on AI/AN students attending TCUs.

## **Attachment 1 continued**

### **Program Plan Proposal**

[Program Plan Proposal illustrates a defined planned approach to execute a set of activities which include input/outputs, and stated specific goals which communicate observable and measureable outcomes.] See the example below:

#### **Proposal for the Bureau of Indian Education Four Year Plan**

The planning approach outlined in this document addresses the planning requirements stipulated in the Executive Order. It focuses on a BIE four year plan, but also recognizes that in order for the plan to be successful extensive collaborative efforts will have to be undertaken with external stakeholders. The section below identifies points to consider in developing an effective planning and reporting process. This is followed by a proposed planning template. Examples have been provided to demonstrate how the plan may be populated.

#### Points to Consider in Developing an Effective Planning and Reporting Initiative

- Identify a champion who will be the primary sponsor of the plan within Indian Affairs
- Design a planning process that involves all key stakeholders in establishing priority actions
- Establish a steering group to guide the effort. Alternative approaches may be a subcommittee of the National Advisory Council on Indian Education (NACIE); or a special subcommittee of the Tribal Interior Budget Council
- Develop a performance measure protocol that includes establishing criteria for selecting measures, developing detailed definition templates for each measure and identifying data sources that will furnish the necessary performance information
- Design the process by which performance targets for each year will be established
- Determine funding levels and funding sources – e.g., DOE, DOI, other Federal agencies - that will be required to achieve performance goals
- Assign goal owners who will be responsible for reporting on progress and explaining variances
- Decide on a performance reporting protocol, including frequency of reporting and the system that will be used to collect report and certify performance data. One of the decisions is to determine if reporting associated with this plan will be integrated into the current IA-PMS; and if so, will a separate reporting protocol also be necessary to satisfy the broader educational community of interests



- Harmonize the elements of this plan with the ongoing educational commitments included in the current DOI strategic plan. The assumption is that the BIE four year plan will be a stand-alone document; and that annual performance reports will be submitted through DOI to NACIE. BIE, however, will also have to ensure

### **Attachment 1 continued**

that commitments made in this plan complement those that are included in the DOI strategic plan.

#### Proposed Planning Template

The proposed planning template, outlined below, includes the following elements:

- Proposed funding for FY 2013-16 – including funding sources
- Mission and Vision Statement
- Scope of Plan
- Part 1 and 2 Plan objectives – Part 1 – elementary and secondary education; Part 2 – TCUs
- Key challenges and risks associated with plan implementation
- Performance measures and targets to accompany each objective
- Key actions and milestones to achieve objectives
- Collaborators that will participate in these efforts

**An example plan template is provided below:**

#### **Mission Statement**

[A mission statement defines what a program is, why it exists, and its purpose for existence. At a minimum, your mission statement should define who your stakeholders are, identify the activities produced which deliver outcomes/results.] See the example below:

Support activities that will strengthen the Nation by expanding educational opportunities and improving educational outcomes for all American Indian and Alaska Native students in order to fulfill our commitment to furthering tribal self-determination and to help ensure that American Indian and Alaska Native students have an opportunity to learn their Native languages and histories and receive complete and competitive educations that prepare them for college, careers, and productive and satisfying lives.

#### **Vision Statement**

[Communicates intended direction of the program in the future.] See the example below:

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Every American Indian and Alaska Native student, whether located in BIE-owned, tribal or public schools, colleges and universities, will be provided with equitable resources, and opportunities to optimize educational and socio-economic outcomes.

## Attachment 1 continued

### Scope of Plan

[Identified areas of focus and concentration with key activities within the program plan. Also included should be subject areas with identified collaborative partners that execute the program.] See the example below:

The Plan to improve educational opportunities for American Indian and Alaska Native students encompasses all key goals and milestones scheduled for completion during the period October 1, 2012 through September 30, 2016. These encompass efforts undertaken by Indian Affairs' Bureau of Indian Education (BIE) as well as collaborative efforts between BIE, the Department of the Interior (DOI), the Department of Education and other Federal agencies, tribes, states and academic institutions as appropriate. This is a two part plan. Part 1 addresses elementary and secondary education. Part 2 addresses post secondary and adult education. The majority of planning efforts address the needs of students in BIE-owned schools and colleges as well as tribal schools, colleges and universities. The Plan, however, will also include activities that address the needs of American Indian and Alaska Native students attending public schools, since 90 percent of these students are located in public school settings.

### Funding [millions]

[Funding sources should include personnel manpower and monetary operational dollars for program execution.] See the example below:

<b>Funding Source</b>	<b>FY 13</b>	<b>FY 14</b>	<b>FY 15</b>	<b>FY 16</b>
BIE Elementary and Secondary				
BIE Post Secondary				
Other Sources – Elementary and Secondary *				
Other Sources – Post Secondary				

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Total				

\*Assumption is that funding will be required from sources outside of DOI – sources to be determined

## Attachment 1 continued

### Objectives

[Communicates identified program outcomes to be accomplished.] See the example below:

#### Elementary and Secondary

1. Increase the number and percentage of American Indian/Alaska Native children who enter kindergarten ready for success through improved access to high quality early learning programs and services
2. Support the expanded implementation of education reform strategies that have shown evidence of success
3. Increase the number and percentage of American Indian/Alaska Native students who have access to excellent teachers and school leaders, including effective science, technology, engineering, and mathematics (STEM), language, and special education teachers
4. Reduce the American Indian/Alaska Native student dropout rate
5. Help to ensure that the unique cultural, educational, and language needs of American Indian/Alaska Native students are met

#### Post Secondary and Adult Education

1. Provide pathways that enable those who have dropped out to reenter educational or training programs and acquire degrees, certificates, or industry recognized credentials
2. Increase college access and completion for American Indian/Alaska Native students through strategies to strengthen the capacity of postsecondary institutions

### Key Challenges and Risks Associated With Plan Implementation

[Areas of difficulty that could impede program progress, and potential issues which could stop implementation entirely.] See the example below:

#### BIE-owned schools

BIE funded schools follow the academic standards of their respective states. It will require several years of improved instruction and curriculum to advance students that are currently performing at a level several grades below standard to close the gap in achievement. At the same time individual states are raising the achievement levels

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required for schools to make Adequate Yearly Progress (AYP), there are several schools that are on the verge of making AYP but need assistance to take the next step. There are also schools that should be targeted for enhanced assistance to improve math and reading proficiencies. BIE has initiated a pilot program among several BIE-owned schools that has shown promise in standardizing the approach for evaluating AYP.

## Tribal Schools

Although there are many innovative educational approaches being implemented in tribal schools it is difficult to document successes at a National level because there is not a

### **Attachment 1 continued**

systematic reporting process in place to capture these approaches, their educational outcomes or the cost to achieve the outcomes. A pilot initiative is underway to encourage enhanced tribal reporting on key performance measures. This pilot, entitled the Tribal Data Exchange, has established an inter-tribal reporting mechanism that should expand the ability to strengthen the value of information for all concerned.

## Public Schools

There is no adequate Federal monitoring or reporting system in place to capture the achievements of American Indian or Alaska Native students who are located in public schools. Since 90 percent of these students attend public schools, a major gap exists in identifying where learning challenges exist and how to address those challenges.

## **Performance Measures and Targets**

[Program assessment and evaluation tools used to monitor progression. These can be in the form of performance metrics, objectives, milestones and priority actionable items.] See the example below:

<b>Objective</b>	<b>Performance Measure</b>	<b>FY 2013 Target</b>	<b>FY 2014 Target</b>	<b>FY 2015 Target</b>	<b>FY 2016 Target</b>
<b>Elementary and Secondary</b>					
Increase the number and percentage of AI/AN children who enter kindergarten ready for success	Percent of pre-kindergarten AI/AN children identified in 2010 Census data that have completed early learning programs				
Support the expanded implementation of education reform strategies	Percent of BIE-owned schools that have implemented documented educational reform strategies				
Increase the number and percentage of AI/AN students who have access to excellent teachers	Percent of AI/AN students in BIE-owned schools that have access to teachers who have a minimum of a bachelor degree in their				

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	core teaching area				
Reduce the AI/AN student dropout rate	Percent of students in BIE-owned schools that complete high school within – years of their initial graduation date				
Meet unique cultural, educational, and language needs of AI/AN students	Percent of BIE-owned schools that offer separate courses in Native language and culture				

### Attachment 1 continued

Objective	Performance Measure	FY 2013 Target	FY 2014 Target	FY 2015 Target	FY 2016 Target
<b>Post Secondary and Adult Education</b>					
Provide pathways that enable those who have dropped out to reenter educational or training programs	Percent of documented student drop outs from BIE-owned schools that enroll in GED or occupational training programs within 1 year of drop out date				
Increase college access and completion for AI/AN students	Percent of students in BIE owned or TCUs that graduate within time frames that are equivalent to rates in schools located in similar socio-economic conditions				

### Priority Actions and Milestones to Achieve Objectives

See the example below:

Priority Actions to Achieve Objectives	Key Milestone [Identify dates associated with completion]	Linkage to Objectives	Points of Contact
<b>Elementary and Secondary Education</b>			
Conduct leadership institutes for teachers and principals in effective reading and math instruction.	By July 1, 2013, leadership institutes will have been held for teachers and principals.	Leadership institutes will enhance the proficiency of teachers who conduct reading and math classes	TBD
Expand the NWEA initiative to promote more meaningful and standardized methods for measuring student progress and implementing strategies to address student weaknesses	By Sept 30, 2014 50% of BIE-owned and operated schools will be implementing the NWEA approach	This is an effective demonstration of expanding a meaningful educational reform strategy throughout Indian country	TBD

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Priority Actions to Achieve Objectives	Key Milestone [Identify dates associated with completion]	Linkage to Objectives	Points of Contact
Expand exposure to early childhood programs such as Family and Child Education (FACE)	By September 2016 a MOU will be in place between BIE and the states of New Mexico, Oklahoma and Arizona to initiate early childhood programs with curriculum tailored to the needs of American Indian students in BIE-owned as well as public schools	This strategy directly contributes to child readiness for kindergarten success	TBD

## Attachment 1 continued

Post Secondary and Adult Education			
Launch an outreach initiative targeted to adult learners apprising them of opportunities to further their educational opportunities	By July 2013 complete a communication and outreach planning document with participation of BIE and tribal leaders	Communication and outreach expands the potential and motivation for adult learners to re-enter the learning environment	TBD
Conduct college fairs that focus on advantages of attending TCUs	By September 2012 initiate first college fair with participants from at least 20 TCUs	Meet and greet sessions such as college fairs can enhance awareness among prospective college students and increase motivation to enroll	TBD
Develop a strategic improvement planning template for TCUs aimed at strengthening institutional capacity and ability to attract qualified AI/AN students	By January 2013 complete draft planning template and disseminate to participating TCUs for comment	An effective TCU strategic plan is an effective first step toward enhancing the capacity of these institutions to effectively serve the higher learning needs in Indian country	TBD

### Collaborators

[Identified partners, e.g. Federal, tribal, and others which assist in the overall execution of the program operation.] See the example below:

To effectively implement this plan, BIE will maintain close collaborative relationships with several partners. The initial level of collaboration will be with the newly formed Interagency Working Group on American Indian/Alaska Native education and TCUs. This will include senior officials from the Department of Education and the DOI, and officials from the Departments of Justice, Agriculture, Labor, Health and Human Services, and Energy, the Environmental Protection Agency, and the White House Domestic Policy Council.

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In addition, collaborative relationships will be established with tribal leaders, the Tribal Interior Budget Council (TIBC), states, and public academic institutions. The specific nature of each collaboration will be detailed as the plan is fully developed.