



# Indian Affairs Fiscal Year 2019 Budget Formulation Guidelines

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## Introduction

Indian Affairs (IA) deals with multiple fiscal-year budgets concurrently as reflected in **Attachment D, Budget Formulation Process Timeline**. The IA budget formulation process is comprised of annual forums for tribes to interact with IA to provide tribal initiatives, policies, budget recommendations, and program performance/results information.

Indian Affairs will solicit the active participation of Indian tribes and organizations in the formulation of the IA budget request.

## Timeframe

In order to ensure that tribes are able to provide meaningful input into the budget request, we shall use the following timeframe to coincide with the Department of Interior (DOI) schedule:

Date	Workgroup Activity
SEPT 2016 – JAN 2017	Tribal/Regional budget formulation work sessions for FY 2019.
FEB 19, 2017	Regions submit formulation packages to OBPM
MARCH 2017	Tribal presentations of regional submission at the Tribal Interior Budget Council (TIBC) National Budget Meeting, including Department Officials.
MARCH – APRIL 2017	Budget Subcommittee worksessions to consolidate regional submissions into one budget.
MARCH 2017	Regional submission shared with Central Office program staff for use in formulation.
APRIL 2017	Formal consolidated presentation of draft testimony and recommendations to the Assistant Secretary – Indian Affairs.
MAY/JUNE 2017	Indian Affairs will assist in the development of a meeting among the co-chairs of the TIBC Workgroup, representatives, and the Director of the Office of Management and Budget (OMB).
JUNE 2017	Department submission for FY 2019.
JULY 2017	TIBC Budget Meeting, Location TBD.
OCT 2017	FY 2020 Budget Formulation begins.

## Central Office Budget Formulation Staff

Provides support to the Deputy Assistant Secretary – Management, Director, Bureau of Indian Affairs, and Director, Bureau of Indian Education for budget formulation.

- Develops the IA budget request in accordance with DOI and Office of Management and Budget guidelines.
- Outlines annual formulation process and develops guidance for the regions/tribes.
- Provides information/training on the formulation process and budget requests.
- Ensures regional/tribal initiatives are included at the National Budget Meeting and provides recommendations to the working sessions of the tribal budget sub-committee.
- Ensures regional/tribal initiative packages are provided to Central Office programs for use in formulating their budgets.
- Ensures the consolidated tribal initiative package is provided to the Assistant Secretary – Indian Affairs (AS-IA) for use in making budget decisions.

## Regional Budget Formulation Staff

Regional Budget Staff provide ongoing support at the region level, ensuring tribal input through the use of an automated survey to begin the IA budget formulation process.

The region will convene with the tribes sometime during November through January, to work with them to review their respective budget recommendations. A unified regional submission is prepared to reflect those recommendations.

## National Budget Meeting

The National Budget Meeting is conducted yearly in March to allow the regions to present their recommendations for the Indian Affairs proposed budget request.

### The role of regional representatives during the National Budget Meeting:

- Attend and participate in the IA FY 2019 National Budget Meeting.
- Be familiar with the details of their regional recommendations and be prepared to present and actively discuss recommendations.
- Have authority to negotiate regional tribal proposals in order to produce National budget recommendations and initiatives to the AS-IA and the Secretary of the Interior.

## TIBC Budget Sub-Committee

This workgroup consists of a diverse group of 638, direct service, and self-governance tribal volunteer representatives from TIBC as identified at the National Budget Meeting.

### The sub-committee will:

- Provide input and recommendations to develop a consolidated IA budget submission and testimony.
- Meet with the Assistant Secretary and present the consolidated budget and testimony.

Costs incurred by the tribe(s) for the purpose of participating in the TIBC Budget Sub-Committee shall be the responsibility of Indian Affairs.

## Budget Information Disclosure

Indian Affairs provides the tribe(s) with the following budget-related information annually:

appropriations, allocations, expenditures, for programs, functions, and activities. Tribal requests for additional information shall be reviewed and answered to the extent practicable, unless embargoed and/or prohibited by law.

## Budget Formulation Evaluation

To effectively evaluate the budget formulation process and the ability of IA to incorporate tribal recommendations, IA will use both an “In survey evaluation” as well as a Regional Evaluation form to assess:

- The effectiveness of the process used to formulate the budget;
  - The effectiveness and ease of use of the tribal survey tool;
  - The the level of attendance and the number of responses received from tribal officials;
  - The effectiveness of IA activities related to promoting tribal input regarding the process used to formulate the budget;
  - The recommendations received from IA, tribes, and other federal agencies to improve the formulation process and promote meaningful outcomes.
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## REGIONAL BUDGET FORMULATION SESSIONS: DETAILED INSTRUCTIONS

### Indian Affairs Budget Formulation Process

For the FY 2019 process, in order to ensure that tribes are able to provide meaningful input into the IA budget request, IA shall use a tribal survey tool.

### Tribal Survey

A Two-Part Survey has been developed for use by tribes to outline their top 10 funding preferences and their unfunded obligations.

The first part of the survey allows tribes to outline which 10 budget lines they would prefer to provide increased funding to and why. It also requests the submission of success stories and information to support future program funding.

The second part of the survey asks for information to be used for development of an Unfunded Obligations report that is calculated consistently across tribes.

By completing this section, using the calculation standards provided, a valid and well documented outline of the need in Indian country can be developed. Tribes should run the calculations for all of the lines that currently do or could apply to their tribe.

- Unfunded obligations can be outlined for a program that isn't currently being funded for a tribe; just because they aren't currently receiving funds for a program doesn't preclude them from outlining a need for funding.
- Tribes **MUST** use the calculations provided in order for our report to be valid and defensible.

- The Survey also includes a feedback link so tribes can let us know about any issues or problems they encountered with the survey.

### Regional Responsibilities

Each Region will assist their tribes in the survey process by ensuring the survey link, <https://goo.gl/ls0qXL>, is distributed to all tribes within their region, including Self-Governance tribes.

Using the survey information to complete the required regional submissions will ensure that the data used at the National Budget Meeting is complete, consistent, and comparable.

Having access to this information will also allow the Budget Subcommittee and AS-IA to view funding preferences from a regional viewpoint as well as the national level.

### Each Region will provide:

- An annual meeting with tribes to outline the formulation process and answer questions
- Training session on the Federal Budget Process as necessary;
- The link to the survey <https://goo.gl/ls0qXL> to all tribes, including OSG tribes, within their region.
- The overall formulation guidance and the survey user guide to their tribes
- Performance Measures/Assessments.

## Complete Regional Submissions

**To complete regional budget submissions, each Region should:**

- Consolidate Survey information on Program Preferences, discuss, and agree upon any budget changes/recommendations proposed for FY 2019.
- Consolidate Survey information on Unfunded Obligations and review to ensure calculations were done correctly.
- Submit completed A-Region Table.
- Submit completed B-Narrative Table.
- During the National Budget Meeting, regional teams will provide a summary of proposed regional increases.

### A-Region Table – 8% Increase/Unfunded Obs

Each Region will submit a Region Table that outlines a proposed 8% budget increase and unfunded obligations by budget line at the regional level.

Sheet titled “A-Region Table” includes a column to outline an 8% budget increase proposal.

- Each regional team is asked to gather data through the survey from their tribes to determine an 8% budget increase.
- The increases should focus on program preferences that are the greatest for the region as a whole.
- The Region table also includes a column to outline tribal unfunded obligations by budget line. The regions will collect tribal unfunded obligation data through the survey and verify that tribes used the calculations outlined and will consolidate all information into overall unfunded obligation levels by program line for their region.

## B-8% Increase/Decrease Narrative

Regional teams will submit a “B-Narrative 8%” worksheet that provides support for each proposed 8% increase or any decreases or offsets.

- The table at the top of the Narrative worksheet is where you will insert the budget line and corresponding funding and increase/decrease from the A-Region Table.
- In section 2, you will provide background information to support your increase/decrease. Provide information on why the increase/decrease is necessary for your tribes and region, how the need came to be, and include any historical data you might have on the issue being addressed.
- In section 3, you will provide the actual narrative for the increase/decrease. This section is to be used to explain what is expected to be the result of increasing/decreasing funding; how the funds should be disbursed; any data metrics that will be measured to track results; and does this increase/decrease impact any existing initiatives or contribute to Agency Priority Goals (All initiatives and Agency Priority Goals are outlined in the Executive Summary Section of the Greenbooks).

## Success Story

Regions are encouraged to submit at least one compelling budget related success story by way of email to [TribalSuccess.TIBC.Budget@bia.gov](mailto:TribalSuccess.TIBC.Budget@bia.gov) where the central office team will retrieve and consolidate for possible placement in the Greenbook. It is always beneficial when we can outline some of the good things that are being

done with the little bit of funding provided in Indian country. This shows that any investment in Indian Affairs will mean positive results.

**The success story should:**

- Be tied to budget funding levels e.g., with the amount of funding received from 2013 to 2015 we were able to increase the level of achievement by 10%; or we were able to decrease the level of damage by 5%; or we were able to restore 20 more acres/miles, etc.
- Include performance information where possible. While they do not have to be formal performance measures, any stories that can be applied to formal measures will lend a more powerful statement.
- Outline total need, what you have achieved, and an estimate of what can be achieved with additional support.
- Include written consent from the individual and/or family if sharing a personal story.
- Photos are encouraged.

**C-Evaluation Forms**

Each Region will submit evaluation forms completed by those participating in the Regional Budget Formulation Work Sessions. There is also an evaluation form within the Survey for tribes to provide feedback on the survey itself as well as the overall process.

**Other Concerns** – the last page of the evaluation form includes a space to voice any other concerns or suggestions on the budget formulation process, to be considered when the process is updated for future years.