1.1 **Purpose.** This chapter describes the support activities provided by the Office of Planning and Performance Management (OPPM) in the development and submission of the Indian Affairs (IA) portion of the Department of the Interior’s (DOI) Annual Performance Plan and Report (APP&R).

The Government Performance and Results Act (GPRA) requires agencies to articulate priorities for the agency as a whole, measure progress in achieving those priorities, and link those priorities to the budget decision-making process. The requirement to develop annual performance plans, which link long-term goals (defined in the strategic plan) with annual program targets and with resources required to meet those targets, is fulfilled through the annual performance-based budgeting process and submission. The Government Performance and Results Act Modernization Act of 2010 (GPRAMA) further emphasizes the use of performance information to improve performance outcomes and performance management practices, and requires transparency regarding data accuracy and validity and quarterly reporting on priority goals on a public website.

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

The collection of GPRA performance information is often 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 Departmental policies and procedures regarding performance management, including the annual performance report and budget submission.

In practice, the performance information in both documents is used by the Office of Management and Budget (OMB), Congress and the DOI as a baseline for performance discussions throughout the performance execution period described in the budget justification.

1.4 **Authority.**


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


D. OMB Circular A-11, Preparation, Submission and Execution of the Budget
E. OMB Circular A-11, Part 6, Preparation and Submission of Strategic Plans, Annual Performance Plans, and Annual Program Performance Reports

F. OMB Circular A-136, Financial Reporting Requirements


H. DOI APP&R and annual budget submission guidance.

1.5 APP&R Overview.

Annual performance planning is currently included as part of the DOI’s APP&R. The APP&R document is submitted as a companion to the Department’s budget. Together these two documents constitute the agency’s annual performance submission to the OMB, and eventually to Congress.

The APP&R communicates both bureau and Departmental strategic measures that assess performance at the outcome or output levels, and outlines performance targets and resource allocation trends over the past five years. The annual budget justification process provides an opportunity for agencies to identify gaps between current and desired performance results and to estimate the level of resources required to close the performance gaps.

Additionally, annual reports must contain an assessment of the completeness and reliability of the performance data included therein. Performance data that is not acceptably reliable is characterized as being materially inadequate. The annual report should identify any performance goals for which the available performance data are materially inadequate, along with a brief reason why the data are inadequate. The annual report should cite any actions being taken to remedy a material inadequacy.

The APP&R should be viewed as a managerial tool for program managers and IA leadership to assess key measures, associated performance challenges, required actionable priorities, and performance milestones. This document can be used to assess program direction and funding priorities in addition to facilitating current and future managerial decisions.

1.6 Responsibilities.

A. **IA Chief Financial Officer** is responsible for fulfilling the statutory requirements of the CFO Act, GPRA, and GPRAMA including compliance with such policies and requirements as may be prescribed by the OMB, and the systematic measurement of performance.

B. **IA Program Directors** are responsible for certifying that all performance data submitted for their respective program is accurate and complete, including the ability
to provide certification of an established validation and verification (V&V) process and evidence to support submitted data.

C. **IA Program Offices**, including AS-IA and Bureau Central Offices, Regional Offices, Districts, and Agencies are responsible for:

1. The collection and preparation of performance management information.
2. The quality control of submitted performance information, including conducting the V&V process as recommended by the Department, and certification of the data’s accuracy.
3. Providing actionable items, key challenges and milestones associated with their program over the next two years. Programs must also provide a point of contact for the actionable items and milestones addressed in their performance plan.

D. **OPPM Desk Officers** are responsible for overseeing the preparation and submission of IA performance data for inclusion in the APP&R by established deadlines, including:

1. Ensuring guidance, timelines, requirements, and other information is communicated in a timely manner to appropriate IA management and staff, including examples of written materials, and any other information that would facilitate knowledgeable and timely IA responses;
2. Working with AS-IA, BIA and BIE management to ensure IA accomplishments, challenges, and other key issues affecting performance are addressed adequately, and submitted to the Department by required deadlines;
3. Compiling the AS-IA input to the report and developing an internal IA performance plan for senior managers to track risks, challenges and milestones;
4. Working with the DOI Planning and Performance Management (PPP) office and the DOI Office of Financial Management (PFM) (as necessary) on IA inputs to the APP&R, including follow-up issues with OMB;
5. Coordinating performance data submissions and corresponding evidence with Desk Officers and IA Program staff/management, including edits/corrections to written materials and data, cost information for Representative Performance Measures and other requirements such as program anecdotes, artwork/pictures, and substantial performance explanations;
6. Implementing quality control activities to ensure performance explanations and data submissions are accurate, in compliance with required V&V requirements, and ensuring performance data is accurate across all reporting and accountability mechanisms (this includes budget tracking documents and the IA-Performance Management System);
7. Developing IA’s annual V&V compliance memo, including any necessary planned/implemented corrective actions, on behalf of the AS-IA, for timely submission to PPP;

8. Working with the auditors, the IA Audit Liaison, and the IA CFO staff on all IA financial data input and APP&R related issues, including findings, corrections, and document development;

9. Addressing auditor follow-up requests with OPPM Desk Officers and Program staff and management in a timely manner;

10. Performing an annual “lessons learned” analysis to determine opportunities for improvement, and consulting with other IA offices and auditors on areas for improvement;

11. Maintaining all APP&R related documentation (hard and soft copy formats) under the designated year;

12. Participating in DOI PPP/PFM meetings or actions as they relate to APP&R compliance and ensuring AS-IA concurrence (or changes).