



Indian Affairs Fiscal Year 2021 Budget Formulation Guidelines

October 2018

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Introduction

Indian Affairs (IA) deals with multiple fiscal-year budgets concurrently, as reflected in, **Attachment A, Budget Formulation Process Timeline**. In respect for Tribal Sovereignty, the Indian Affairs (IA) Budget Formulation Process includes an annual forum for American Indian and Alaska Native Tribes to provide recommendations for tribal initiatives, policies, and budget recommendations.

Timeframe

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

Date	Workgroup Activity
OCT 19, 2018	The Office of Budget and Performance Management (OBPM) releases budget formulation guidance and ranking tool to the regions and tribes via Kick off webinar.
OCT 2018 – JAN 2019	Tribes receive ranking tool and formulation guidance. Regions hold their tribal budget formulation meetings/work sessions for FY 2021.
JAN 10, 2019	All tribal ranking tool submissions must be in to regional offices.
FEB 10, 2019	Regions submit tribal ranking roll up and federal regional request templates.
FEB 2019	Regional submissions shared with Central Office (CO) program staff for use in formulating their budgets. OBPM prepares National Roll up from regional submissions.
MAR 15, 2019	CO program submissions are sent to OBPM.
MAR 18-29, 2019	CO Program Briefings are conducted by OBPM
APRIL 9-11, 2019	Results of the Regional and National Rollups presented to the full TIBC Body by OBPM at April Session. The TIBC body deliberates at the April Session and determines budget strategy for FY 2021.

APRIL 12, 2019	Budget Subcommittee worksession to develop tribal budget submission.
APRIL 16, 2019	Subcommittee presents proposed budget and draft testimony to full TIBC Committee for approval via webinar.
APRIL 18, 2019	Tribal Presentation of approved tribal budget and testimony to the Assistant Secretary – Indian Affairs.
APRIL 22, 2019	OBPM prepares Budget Deliberation Books to include all tribal, regional, and CO submissions.
APRIL 24- MAY 8, 2019	IA Budget deliberations with Senior Management.
MAY 2019	Departmental submission for FY 2021.
MAY/JUNE 2019	Indian Affairs will assist in the scheduling of a meeting among the co-chairs of the TIBC, representatives, and the Director of the Office of Management and Budget (OMB).
JULY 2019	TIBC Budget Meeting, Alaska.
SEPT 2019	OMB Submission for FY 2021.
OCT 2019	FY 2022 Budget Formulation begins.
NOV 2019	OMB Passback on FY 2021 Budget.
FEB 2020	FY 2021 Greenbook goes to print.

Preferred Program Ranking Tool

For the FY 2021 process, in order to ensure that tribes are able to provide meaningful input into the IA budget request, IA shall use a tribal Preferred Program Ranking tool.

This ranking tool allows the IA, Office of Budget and Performance Management (OBPM) to reach out to tribes for their input into the Budget Formulation Process. This tool asks tribes to outline their top funding preferences within eight (8) different strategic funding categories:

- 1) Strengthening Tribal Communities;
- 2) Trust Natural Resources Management;
- 3) Trust Land & Water Rights Management;
- 4) Public Safety and Justice;
- 5) Economic Development;
- 6) Education;
- 7) Construction;
- 8) Resource Management Construction.

Within each strategic category, there are budget lines outlined that support the overall accomplishment of that strategy. Each budget line also includes a brief description of the activities/projects/work supported by the funding provided on that budget line.

Use of the Information: The information gathered from the tribes using this tool will be weighted to determine which budget lines in each category rank highest. Information will be weighted and totaled by category, first by tribe, then consolidated to the regional level and then on a national scale. These category rankings will then be presented by OBPM at the Tribal Interior Budget Council (TIBC) National Budget Meeting and will be used by the full TIBC body to assist them in deciding the FY 2021 Budget Formulation Strategy for Indian Affairs.

For each category, tribes are not required to rank all lines. They can rank just 1 line, all lines within the category, or any portion of the lines that apply. Additionally, they are not required to do rankings within all categories, just those those categories that they feel apply to their tribe.

The Ranking Tool also includes an Evaluation Form so tribes can let us know about any issues or problems they encountered with the ranking tool or the Formulation process itself.

Central Office Budget Formulation Staff

Provides support to the Assistant Secretary; Deputy Assistant Secretary – Management; Director, Bureau of Indian Affairs; Director, Bureau of Indian Education; Regional Directors; Field Staff and Tribes for budget formulation.

- Outlines annual formulation process and develops guidance for the regions/tribes.

- Provides information/training on the formulation process, ranking tool, and budget requests.
- Ensures regional/tribal initiatives are included at the National Budget Meeting
- Is an active participant of and provides recommendations to the working sessions of the tribal budget sub-committee.
- Ensures regional/tribal program rankings are provided to Central Office programs for use in formulating their budgets.
- Ensures the Tribal program rankings are provided to the Assistant Secretary – Indian Affairs (AS-IA) for use in making budget decisions.
- Develops the IA budget request to DOI in accordance with DOI and Office of Management and Budget guidelines.

Central Office (CO) Programs:

Central Office programs will receive regional and tribal priority need and ranking information in February. The CO programs will then formulate and provide their input on their priority needs for consideration within the budget request using Attachment C – Budget Submission Template. The template allows them to outline their requested need including background and justification for their submission. Each priority area will have a separate template. All templates will be submitted to the Division of Budget Formulation in Central Office, OBPM for inclusion in the deliberation information book used by senior management to make final budget decisions. Briefings will be held by OBPM with each CO program to allow them to provide further information regarding their requests.

Regional Directors/Regional Budget Staff

Regional Directors and Regional Budget Staff are required to provide ongoing support at the region level, ensuring tribal input from all tribes, including Self-Governance tribes.

Regions will solicit the active participation of Indian tribes and organizations in the formulation of the IA budget request through the use of a Preferred Program Ranking Tool and by holding two formulation meetings with their tribes.

Regions have the option of completing and submitting federal priority needs from a regional perspective using Attachment C – Regional Budget Priority Template.

National Budget Meeting

The National Budget Meeting is conducted yearly, in April. Regional and National rankings will be presented to the full TIBC body so budget strategies for the upcoming request can be worked out.

The role of regional representatives during the National Budget Meeting:

- Attend and participate in the National Budget Meeting.
- Be familiar with the details of regional recommendations and be prepared to present and actively discuss recommendations.
- Has the 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 and Federal Budget Staff.

The sub-committee will:

- Meet to discuss improvements to the Formulation Process and Policies.
- Meet to develop a proposed tribal budget for review and concurrence by the TIBC body.
- Will develop testimony to accompany the proposed tribal budget.
- Will present the proposed tribal budget and testimony to the full TIBC body for approval via webinar.
- Meet with the AS-IA and present the tribal budget and testimony upon TIBC approval.

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 TIBC representatives and attendees with the following budget-related information annually: Comprehensive Table of enacted and requested funding; appropriations, allocations, expenditures, for programs, functions, and activities; Report of Priorities vs. Request vs. Enacted. 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 an “In Tool Evaluation” form to assess:

- The effectiveness of the process used to formulate the budget;

- The effectiveness and ease of use of the tribal ranking tool; and
- The effectiveness of IA activities related to promoting tribal input regarding the process used to formulate the budget.

REGIONAL BUDGET FORMULATION SESSIONS - DETAILED INSTRUCTIONS:

Regional Responsibilities

Regional Needs: Each region should use Attachment C – Budget Submission Template, to outline their regional needs from the federal perspective and include background and justification information to support their requests. Requests should be for actual needs as opposed to wants and a separate template should be prepared for each program area outlined. All templates and tribal rankings will be submitted to the Division of Budget Formulation in Central Office, OBPM in February for distribution to the CO programs and for inclusion in the deliberation information book used by senior management.

Tribal Rankings: Each Region will assist their tribes in participating in the ranking process by ensuring the ranking tool is distributed to all tribes within their region, including Self-Governance tribes.

The region **must** hold **two** (2) meetings with all tribes in their area (including Self-Governance tribes) sometime during October through January. The first session should be held as early as possible and provide a demonstration and distribution of the ranking tool and all guidance. The region must monitor ranking tool completion rates, reach out to those that have not completed

the ranking tool, and offer technical assistance or whatever is needed to get their submission completed.

The second session will be held once all tribal submissions are in and the weighting and regional consolidations have been done. The region will bring the tribes back together to review the consolidated ranking and develop a unified regional ranking for submission to Central Office OBPM.

Regions will ensure that the data submitted for use 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:

- Two (2) formulation meetings with tribes
- Training session on the Formulation Ranking Tool and the Federal Budget Process
- The ranking tool to all tribes, including OSG tribes, within their region
- The guidance on the overall formulation process

Complete Regional Submissions

To complete regional submissions, each Region should:

- Consolidate and weight all tribal Ranking Tool information submitted by tribes in their region. [See weighting instructions below.]
- Meet with tribes and discuss and agree upon any changes/recommendations proposed to their regional rankings.

- Provide Central Office,OBPM with a copy of their final tribal regional ranking using Attachment E - Regions Final Ranking Tool.
- During the National Budget Meeting, regional teams need to be present to address any issues related to their regional rankings.
- Provide the federal priority template(s) to Central Office, OBPM outlining their regional priority areas.

Instructions for weighting & ranking tribal submissions:

All categories will be ranked according to the weightings below regardless of whether a tribe ranks all lines, 1 line or a portion of the lines. e.g. If a tribe only selects 1 line and ranks it #1 under Strengthening Tribal Communities, that line will be ranked at 9 points.

Each category will be weighted as follows:

1) Strengthening Tribal Communities

Priority #1 = 9 points; Priority#2 = 8 points;
 Priority#3 = 7 points; Priority#4 = 6 points;
 Priority#5 = 5 points; Priority#6 = 4 points;
 Priority#7 = 3 points; Priority#8 = 2 points;
 Priority#9 = 1 point.

2) Trust Natural Resources Management

Priority #1 = 14 points; Priority#2 = 13 points;
 Priority#3 = 12 points; Priority#4 = 11 points;
 Priority#5 = 10 points; Priority#6 = 9 points;
 Priority#7 = 8 points; Priority#8 = 7 points;
 Priority#9 = 6 points; Priority#10 = 5 points;
 Priority#11 = 4 points; Priority#12 = 3 points;
 Priority#13 = 2 points; Priority#14 = 1 point.

3) Trust Land & Water Rights Management

Priority #1 = 16 points; Priority#2 = 15 points;
 Priority#3 = 14 points; Priority#4 = 13 points;
 Priority#5 = 12 points; Priority#6 = 11 points;
 Priority#7 = 10 points; Priority#8 = 9 points;
 Priority#9 = 8 points; Priority#10 = 7 points;
 Priority#11 = 6 points; Priority#12 = 5 points;
 Priority#13 = 4 points; Priority#14 = 3 points;
 Priority#15 = 2 points; Priority#16 = 1 point.

4) Public Safety and Justice

Priority #1 = 10 points; Priority#2 = 9 points;
 Priority#3 = 8 points; Priority#4 = 7 points;
 Priority#5 = 6 points; Priority#6 = 5 points;
 Priority#7 = 4 points; Priority#8 = 3 points;
 Priority#9 = 2 points; Priority#10 = 1 point.

5) Economic Development;

Priority #1 = 6 points; Priority#2 = 5 points;
 Priority#3 = 4 points; Priority#4 = 3 points;
 Priority#5 = 2 points; Priority#6 = 1 point.

6) Education;

Priority #1 = 18 points; Priority#2 = 17 points;
 Priority#3 = 16 points; Priority#4 = 15 points;
 Priority#5 = 14 points; Priority#6 = 13 points;
 Priority#7 = 12 points; Priority#8 = 11 points;
 Priority#9 = 10 points; Priority#10 = 9 points;
 Priority#11 = 8 points; Priority#12 = 7 points;
 Priority#13 = 6 points; Priority#14 = 5 points;
 Priority#15 = 4 points; Priority#16 = 3 points;
 Priority#17 = 2 points; Priority#18 = 1 point.

7) Construction;

Priority #1 = 12 points; Priority#2 = 11 points;
 Priority#3 = 10 points; Priority#4 = 9 points;
 Priority#5 = 8 points; Priority#6 = 7 points;
 Priority#7 = 6 points; Priority#8 = 5 points;
 Priority#9 = 4 points; Priority#10 = 3 points;
 Priority#11 = 2 points; Priority#12 = 1 point.

8) Resource Management Construction.

Priority #1 = 7 points; Priority#2 = 6 points;
Priority#3 = 5 points; Priority#4 = 4 points;
Priority#5 = 3 points; Priority#6 = 2 points;
Priority#7 = 1 point.