



Indian Affairs

Fiscal Year 2022 Budget Formulation Guidance

October 2019

Table of Contents

Introduction.....	3
Timeframe.....	3
Preferred Program Ranking Tool.....	4
Central Office Budget Formulation Staff.....	4
Central Office Programs.....	5
Regional Directors/Regional Budget Staff.....	5
National Budget Meeting.....	5
TIBC Budget Sub-Committee.....	6
Budget Information Disclosure.....	6
Budget Formulation Evaluation.....	6
REGIONAL BUDGET FORMULATION SESSIONS – <i>Detailed Instructions</i>	6
Regional Responsibilities.....	6
BIE Responsibilities.....	7
Complete Regional Submissions.....	8
Instructions for Weighting & Ranking Tribal Submissions.....	8
Attachment A - Formulation Timeline	
Attachment B – CO Budget Priority Template	
Attachment C – Regional Budget Priority Template	
Attachment D – Preferred Program Ranking Tool	
Attachment E - Regions Final Ranking Tool	

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 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:

Table 1: Budget Formulation Timeline

Date	Workgroup Activity
OCT 10, 2019	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 2019 – JAN 2020	Tribes receive ranking tool and formulation guidance. Regions hold their tribal budget formulation meetings/work sessions for FY 2022.
FEB 10, 2020	All tribal ranking tool submissions should be in to regional offices.
FEB 24, 2020	Regions submit tribal ranking roll up and federal regional request templates.
FEB 25, 2020	Regional submissions shared with Central Office (CO) program staff for use in formulating their budgets. OBPM prepares National

	Roll up from regional submissions.
MAR 13, 2020	CO program submissions are sent to OBPM.
MARCH 2020	CO Program Briefings are conducted by OBPM.
MARCH/APRIL 2020	Results of the Regional and National Rollups presented to the full TIBC Body by OBPM at the Spring Session. The TIBC body deliberates at the Session and determines budget strategy for FY 2022.
APRIL 2020	Budget Subcommittee will hold a 2 day work session following the TIBC meeting to develop tribal budget submission.
APRIL 2020	Subcommittee presents proposed budget and draft testimony to full TIBC Committee for approval via webinar.
APRIL 2020	Tribal Presentation of approved tribal budget and testimony to the Assistant Secretary – Indian Affairs.
APRIL 2020	OBPM prepares Budget Deliberation Books to include all tribal, regional, and CO submissions.
APRIL – MAY, 2020	IA Budget deliberations with Senior Management.
MAY 2020	Departmental submission for FY 2022.
MAY/JUNE 2020	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 2020	TIBC Budget Meeting, Lake Tahoe.
SEPT 2020	OMB Submission for FY 2022.
OCT 2020	FY 2023 Budget Formulation begins.
NOV 2020	OMB Passback on FY 2022 Budget.
FEB 2021	FY 2022 Greenbook goes to print.

Preferred Program Ranking Tool

For the FY 2022 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.

Note: The Consolidated Tribal Government Program (CTGP), Self-Governance, and Human Services Tribal Design budget lines are not included in the ranking because they are made up of tribal transfers and are not appropriated funding lines.

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 2022 Budget Formulation Strategy for Indian Affairs.

For each category, tribes are not required to rank all lines. They can rank one 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, only those categories that they feel apply to their tribe.

The Ranking Tool also includes an Evaluation Form so tribes can inform OBPM of issues or problems they encountered with the ranking tool or the Formulation process itself.

Central Office Budget Formulation Staff

The 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. Key activities include:

- 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 Programs

Central Office programs will receive regional and tribal priority need and ranking information in February. The CO programs will then formulate and provide input on their priority needs for consideration within the budget request using Attachment B, CO Budget Priority 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 input from all tribes within their region, including Self-Governance tribes, and from BIE, school representatives.

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 will solicit the active participation of the BIE schools by reaching out to the BIE Deputy Director and the BIE Budget Formulation staff notifying them in advance of the date and time for their regional/tribal budget formulation sessions.

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

National Budget Meeting

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

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.
- Develop testimony to accompany the proposed tribal budget.
- 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 notify the BIE Deputy Director and BIE Budget Formulation staff of the meeting dates as soon as they are locked in.

The region must monitor ranking tool completion rates for tribes, reach out to those that have not completed the ranking tool, and offer technical assistance or other additional support 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 completed by the regional budget office. 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. The Regions will also work with their tribes at the 2nd session to determine the priority ranking of the categories themselves and

bring that category ranking with them to the National Meeting in March/April.

Regions will ensure that the data submitted for use at the National Budget Meeting is complete, consistent, and comparable and includes the BIE school weightings for the Education Category.

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:

- 1) Two (2) formulation meetings with tribes.
 - The first to be a training session on the Formulation Ranking Tool and the Federal Budget Process
 - The second to be a review of the consolidated regional ranking.
- 2) The ranking tool to all tribes within their region, including OSG tribes, and the BIE POC.
- 3) The guidance on the overall formulation process.

BIE Responsibilities

The BIE Deputy Director and the BIE budget formulation staff will coordinate with regional budget offices to confirm the dates of initial and follow up budget meetings.

The BIE Deputy Director and the BIE budget formulation staff will coordinate with BIE ADDs and EPAs to designate POCs for each region.

The designated BIE POC's will attend the regional budget meetings. The POC should

then meet (can be done via webex) with all schools in their area to provide a demonstration and distribution of the ranking tool and guidance, outlining that the schools need to only complete Education Category ranking.

The POC must monitor ranking tool completion rates, reach out to those schools that have not completed the ranking tool, and offer technical assistance or whatever is needed to obtain and complete their submission.

The BIE POC will consolidate overall weightings for each line item within the Education Category for all of their schools using the weighting factors included in this guidance.

Once consolidated, the POC will send that weighting to the region for inclusion in their overall weighting process. The BIE POC should attend the second session at the region and review the consolidated ranking and help develop a unified regional ranking for the Education Category.

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, one (1) line or a portion of the lines.

For example, if a tribe only selects one (1) line and ranks it #1 under Strengthening Tribal Communities, that line will be ranked at nine (9) points.

Each category will be weighted as follows:

Table 2: Points Systems for Weighting and Ranking Tribal Submission

Priority #	Strengthening Tribal Communities	Trust Natural Resources Management	Trust Land & Water Rights Management	Public Safety and Justice	Economic Development	Education	Construction	Resource Management Construction
Priority 1	9 points	14 points	16 points	10 points	6 points	18 points	12 points	7 points
Priority 2	8 points	13 points	15 points	9 points	5 points	17 points	11 points	6 points
Priority 3	7 points	12 points	14 points	8 points	4 points	16 points	10 points	5 points
Priority 4	6 points	11 points	13 points	7 points	3 points	15 points	9 points	4 points
Priority 5	5 points	10 points	12 points	6 points	2 points	14 points	8 points	3 points
Priority 6	4 points	9 points	11 points	5 points	1 points	13 points	7 points	2 points
Priority 7	3 points	8 points	10 points	4 points		12 points	6 points	1 points
Priority 8	2 points	7 points	9 points	3 points		11 points	5 points	
Priority 9	1 points	6 points	8 points	2 points		10 points	4 points	
Priority 10		5 points	7 points	1 points		9 points	3 points	
Priority 11		4 points	6 points			8 points	2 points	
Priority 12		3 points	5 points			7 points	1 points	
Priority 13		2 points	4 points			6 points		
Priority 14		1 points	3 points			5 points		
Priority 15			2 points			4 points		
Priority 16			1 points			3 points		
Priority 17						2 points		
Priority 18						1 points		