

# INDIAN AFFAIRS MANUAL

Part: 26

Budget

Chapter: 3

Distribution of Resources

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**3.1 Purpose.** This chapter describes the fund distribution process in Indian Affairs.

**3.2 Funding Plans** (Illustration 1) are used to advise field staff of proposed resource distributions and serve as the basis for initial distributions when the Department of the Interior is operating under a Continuing Resolution. Plans should be submitted to the Commissioner, Deputy Commissioner, or Director, Office of Indian Education Programs, as appropriate, for review and approval by July 15 of each year. Approved plans should be provided to the Office of Planning, Budget and Management Support, Division of Budget Management, by August 1 of each year.

**A. Estimated Appropriations.** Prior to enactment of a regular appropriations bill, funds may be distributed up to 75 percent of the amounts requested in the budget, except as noted below.

(1) Funds to support Tribally Controlled Community Colleges (TCCCs) are to be distributed at 95 percent of the amount requested in the budget unless action by either House of the Congress on the pending budget request is below the amount included in the budget for TCCCs. If either House has proposed a budget reduction, the initial distribution shall be limited to 95 percent of the lower of the amounts approved by the House or the Senate.

(2) If either House of the Congress has proposed a reduction to the budget request for any program other than TCCCs, the initial funding plan is not to exceed the lower of:

(a) 75 percent of the budget request; or

(b) 90 percent of the lower of the House or Senate amounts.

**B. Estimated Receipts** for Operations and Maintenance, Indian Irrigation Projects; Power Systems, Indian Irrigation Projects; Alaska Resupply Program; Indian Arts and Crafts Board; and Operations and Maintenance of Quarters are based on amounts collected for the prior fiscal year adjusted, as appropriate, for actual collections during the first six months of the current fiscal year.

**C. All Funds** should be identified by program class at the appropriate organization level. (Consult the Financial Management Handbook for current program class and organization codes.)

**3.3 Allotments.** Upon enactment of an appropriations bill for the Department of the Interior, and the receipt of an approved apportionment from OMB, the Office of Planning, Budget and Management Support, Division of Budget Management, prepares Advice of Allotment documents (Illustration 2).

**A. Appropriated Funds** will be fully allotted unless proposed for rescission or deferral.

**B. Receipts** will be allotted throughout the year as collections are realized.

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**3.4 Suballotments.** Following receipt of allotments, designated Allottees prepare Funding Documents (Illustration 3).

- A.** Funding documents signed by the Director, Office of Indian Education Programs, are submitted to the Branch of Financial Services within the Office of Indian Education Programs.
- B.** Funding documents signed by all other allottees are forwarded to the Division of Budget Management which assigns a document control number, enters data into the accounting system, and distributes the signed funding documents to the appropriate organizations.

**3.5 Allocations and Suballocations.** Suballottees also use Funding Documents (Illustration 3) to further distribute resources within the organization and to serve as their official record for movement of funds. Entry of allocations and suballocations in the accounting system is accomplished by the servicing budget office.

UNITED STATES DEPARTMENT OF THE INTERIOR  
 BUREAU OF INDIAN AFFAIRS  
 FY 200X FUNDING PLAN

1 FUND: 33002 - NON-RECURRING PROGRAMS  
 2 BUDGET SUBACTIVITY: RESOURCE MANAGEMENT

3 ORGANIZATION	4 PROGRAM CLASS 337	PROGRAM CLASS 338	PROGRAM CLASS 339	PROGRAM CLASS 340	5 TOTAL
	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT
GREAT PLAINS	650,000	0	0	75,000	725,000
SOUTHERN PLAINS	80,000	0	93,000	0	173,000
ROCKY MOUNTAIN	400,000	0	500,000	450,000	1,350,000
ALASKA	0	0	130,000	0	130,000
MIDWEST	10,000	0	790,000	150,000	950,000
EASTERN OKLAHOMA	60,000	0	112,000	0	172,000
WESTERN	500,000	199,000	636,000	75,000	1,410,000
PACIFIC	10,000	0	247,000	150,000	407,000
Headquarters (specify office)	0	245,000	255,000	3,175,000	3,675,000
HASKELL	0	0	0	0	0
SIPi	0	0	0	0	0
SOUTHWEST	150,000	0	758,000	75,000	983,000
NAVAJO	125,000	0	250,000	75,000	450,000
NORTHWEST	200,000	0	3,331,000	300,000	3,831,000
EASTERN	30,000	0	244,000	75,000	349,000
6 TOTAL DISTRIBUTED	2,215,000	444,000	7,346,000	4,600,000	16,819,000
7 TOTAL AVAILABLE	2,969,000	592,000	10,113,000	6,134,000	22,760,000
8 NOT DISTRIBUTED	754,000	148,000	2,767,000	1,534,000	5,941,000

9 COMMENTS:

10 REQUESTED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 DIRECTOR, OFFICE OF TRUST RESPONSIBILITIES

11 APPROVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 DEPUTY COMMISSIONER OF INDIAN AFFAIRS

FUNDING PLAN  
Instructions

General: The Funding Plan, prepared by Central Office allottees, is used as the basis for an initial distribution of authority under a Continuing Resolution or other authority and establishing apportionment and allotment level controls within the Federal Financial System (FFS). It also serves as the basis for requesting apportionment authority for receipt accounts and estimated carryover balances from unexpired accounts.

<u>NUMBER &amp; TITLE</u>	<u>INSTRUCTIONS</u>
1 FUND	Enter FFS fund code and the fund name.
2 BUDGET SUBACTIVITY	Enter name of budget subactivity.
3 ORGANIZATION	Enter organization to which authority is planned to be distributed.
4 PROGRAM CLASS	Enter FFS program class code. (As many columns may be added to the table as necessary to include additional program classes.)
5 TOTAL	Enter totals of all program classes by organization.
6 TOTAL DISTRIBUTED	Enter totals of program classes to be distributed by the plan.
7 TOTAL AVAILABLE	Enter total authority available for distribution for each program class.
8 NOT DISTRIBUTED	Enter difference between total distributed (6) and total available (7).
9 COMMENTS	Provide comments or special instructions, if appropriate.
10 REQUESTED BY	Signature of (a) allottee responsible for the distribution of funds in this plan for BIA programs, or (b) official responsible for preparation of plans for OIEP.
11 APPROVED BY	Signature of Assistant Secretary - Indian Affairs, Commissioner, Deputy Commissioner, or Director, OIEP, as appropriate.

UNITED STATES DEPARTMENT OF THE INTERIOR  
 BUREAU OF INDIAN AFFAIRS  
 ADVICE OF ALLOTMENT

1 DOC. REF. NO:	01-K400-001
2 DATE ENTERED:	11/20/01
3 COPIES TO:	720A, 720B

4 TO: Director, Office of Trust Responsibilities

5 APPROPRIATION SYMBOL, TITLE, AND FISCAL YEAR: 14 ½ 2100, Operation of Indian Programs, FY 2002

6 FUND	7 PROGRAM CLASS	8 TITLE	9 PREVIOUS	10 INCREASE/ DECREASE	11 PRESENT
33002	337	Agriculture	0	2,215,000	2,215,000
	338	Irrigation Drainage	0	444,000	444,000
	339	Forestry	0	7,346,000	7,346,000
	340	Water Resources	0	4,600,000	4,600,000
	341	Unresolved Hunting & Fishing	0	2,214,000	2,214,000
		12 TOTAL	0	16,819,000	16,819,000

13 AUTHORITY: These funds are made available pursuant to P.L. \_\_\_\_\_, the Department of the Interior and Related Agencies Appropriations Act, 2002, signed \_\_\_\_\_.

14 STATE PURPOSE OF FUNDS: The funds will support non-recurring natural resource projects in the field.

CONDITIONS: THESE FUNDS ARE SUBJECT TO THE CONDITIONS AND RESTRICTIONS CONTAINED IN 26 IAM.

15 TOTAL ALLOTTED FOR FY <u>2002</u> :			19 FY 2002 RESOURCES AVAILABLE
16 FUND	17 PROGRAM CLASS	18 TITLE	
33000	337	Agriculture	2,215,000
	338	Irrigation Drainage	444,000
	339	Forestry	7,346,000
	340	Water Resources	4,600,000
	341	Unresolved Hunting & Fishing	2,214,000
		TOTAL	16,819,000

20 APPROVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 Deputy Commissioner of Indian Affairs

21 RECEIVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 Director, Office of Trust Responsibilities

(RETURN A SIGNED COPY TO THE DIVISION OF BUDGET MANAGEMENT)

ADVICE OF ALLOTMENT  
 Instructions

General: This document is used to distribute appropriated funds, carryover balances, estimated receipts, and anticipated reimbursement authority to individuals designated as allottees in Indian Affairs.

<u>NUMBER &amp; TITLE</u>	<u>INSTRUCTIONS</u>
1 DOC. REF. NO.	Tracking number assigned by the Division of Budget Management.
2 DATE ENTERED	Date the document is encoded into FFS.
3 COPIES TO	Enter organization codes for the distribution of copies.
4 TO	Enter the title of the official receiving the allotment.
5 APPROPRIATION	Enter appropriation symbol, title, and applicable fiscal year.
6 FUND	Enter FFS fund code.
7 PROGRAM CLASS	Enter FFS program class code(s).
8 TITLE	Enter title of program class(es).
9 PREVIOUS	Enter amount of funds previously allotted for the program class.
10 INCREASE/DECREASE	Enter amount of the increase or decrease, as appropriate, by program class.
11 PRESENT	Enter net total of (9) and (10).
12 TOTAL	Enter totals of the columns.
13 AUTHORITY	Cite applicable appropriations authority.
14 STATE PURPOSE OF FUND	Provide specific guidance on the purpose for which the allotments are being distributed.
15 TOTAL ALLOTTED FOR FY	Enter the appropriate fiscal year for total allotted.
16 FUND	Enter FFS fund code.
17 PROGRAM CLASS	Enter FFS program class code.
18 TITLE	Enter title of program class.
19 FY ___	Enter budget fiscal year and total amount available.
20 APPROVED BY	Signature and title of official responsible for approving the allotment of funds on this document.
21 RECEIVED BY	Signature and title of official receiving the distribution of funds.

UNITED STATES DEPARTMENT OF THE INTERIOR  
 BUREAU OF INDIAN AFFAIRS  
 FUNDING DOCUMENT

1. FFS DOC REF. ID NO.
2. DATE ENTERED INTO FFS
3. COPIES FOR DISTRIBUTION

01-K200-016
11/03/01
720C

4. REGION/DIVISION: K400 - DIRECTOR, OFFICE OF TRUST RESPONSIBILITIES
5. ORGANIZATIONS(S): K00400, K00430, K00440, K00460, K00404, K00231, K00461, K00262, K00463
6. APPROPRIATION SYMBOL: 14 1/2 2100
7. APPROPRIATION TITLE AND FISCAL YEAR: OPERATION OF INDIAN PROGRAMS, FISCAL YEAR 2002

SUBALLOTMENT					
8. FUND	9. PROGRAM CLASS	10. TITLE	11. PREVIOUS	12. INCREASE/ DECREASE	13. PRESENT
35002	358	RESOURCE MANAGEMENT	0	2,992,000	2,992,000
14. TOTAL			0	2,992,000	2,992,000

15. AUTHORITY: These funds are made available pursuant to P.L. \_\_\_\_\_ the Department of the Interior and Related Agencies Appropriations Act, 2002, signed \_\_\_\_\_.

16. STATE PURPOSE OF FUNDS: THIS DOCUMENT SUPPORTS THE FY 2001 SUBALLOTMENT PLAN. THESE FUNDS WILL SUPPORT THE FOLLOWING CENTRAL OFFICE OPERATIONS.

CONDITIONS: THESE FUNDS ARE SUBJECT TO THE CONDITIONS AND RESTRICTIONS CONTAINED IN 26 IAM.

ALLOCATION					
17. ORGANIZATION ALLOCATION	18. PROGRAM CODE	19. PROGRAM TITLE	20. PREVIOUS	21. INCREASE/ DECREASE	22. PRESENT
K00400	35810	NATURAL RESOURCES, GENERAL	0	82,000	82,000
K00430	35860	MINERALS AND MINING	0	650,000	650,000
K00440	35830	FORESTRY	0	1,265,000	1,265,000
K00440	35870	ENDANGERED SPECIES	0	94,000	94,000
K00460	35810	NATURAL RESOURCES, GENERAL	0	166,000	166,000
K00460	35820	AGRICULTURE	0	219,000	219,000
K00460	35840	WATER RESOURCES	0	301,000	301,000
K00460	35850	WILDLIFE/PARKS	0	215,000	215,000
23. TOTAL			0	2,992,000	2,992,000

SUBALLOCATION					
24. ORGANIZATION SUBALLOCATION	25. PROGRAM CODE	26. PROGRAM TITLE	27. PREVIOUS	28. INCREASE/ DECREASE	29. PRESENT
K00404	35810	NATURAL RESOURCES, GENERAL	0	82,000	82,000
K00431	35860	MINERALS AND MINING	0	195,000	195,000
K00442	35830	FORESTRY	0	443,000	443,000
K00461	35820	AGRICULTURE	0	219,000	219,000
K00462	35840	WATER RESOURCES	0	301,000	301,000
K00463	35850	WILDLIFE AND PARKS	0	215,000	215,000
30. TOTAL			0	1,455,000	1,455,000

31. APPROVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 DIRECTOR, OFFICE OF TRUST RESPONSIBILITIES

32. RECEIVED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 RECIPIENT SIGNATURE

FUNDING DOCUMENT  
Instructions

26 IAM 3  
Illustration 3  
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**General:** This form is used for the suballotment, allocation and suballocation of budgetary resources provided through direct appropriations, permanent appropriation of receipt accounts, contract authority received from the Department of Transportation, and allocation accounts from other Interior bureaus or from other Federal Departments.

<u>NUMBER &amp; TITLE</u>	<u>INSTRUCTIONS</u>
1 FFS DOC. REF. ID. NO.	Tracking number assigned by the Division of Budget Management.
2 DATE ENTERED	Date processed by the Division of Budget Management.
3 COPIES	Program Office enters organizational codes for offices to receive copies.
4 REGION/DIVISION	Enter Region and Division code(s) receiving funding at the suballotment level.
5 ORGANIZATION(S)	Enter organization codes receiving funding at the allocation level.
6 APPROPRIATION	Enter appropriation symbol.
7 TITLE & FISCAL YEAR	Enter appropriation title and applicable fiscal year.
8 FUND	Enter FFS fund code from which funds will be suballotted.
9 PROGRAM CLASS	Enter FFS program class code from which funds will be suballotted.
10 TITLE	Enter title of program class(es).
11 PREVIOUS	Enter amount of funds previously allotted for the program class.
12 INCREASE/DECREASE	Enter amount of the increase or decrease, as appropriate, by program class.
13 PRESENT	Enter net total of (11) and (12).
14 TOTAL	Enter totals of the columns.
15 AUTHORITY	Identify the applicable appropriations act.
16 PURPOSE OF FUNDS	Identify the use of the funds.
17 ORGANIZATION	Enter organization allocation code(s).
18 PROGRAM CODE(S)	Enter program allocation code(s).
19 PROGRAM TITLE(S)	Enter program title(s).
20-23	See 11-14 above, entering amounts by program codes rather than program class.
24-30	See 17-23, entering suballocation organization and suballocation amounts.
31 APPROVED BY	Signature and title of official approving the distribution of funds on this document.
32 RECEIVED BY	Signature and title of official receiving the distribution of funds issued through this document.