

Glen Canyon Dam Adaptive Management Work Group
Agenda Item Information
August 12-13, 2009

Agenda Item

Technical Work Group Chair Report

Action Requested

- ✓ Feedback requested from AMWG members.

Presenter

Shane Capron, Chair, Technical Work Group

Previous Action Taken

Budget Process Discussion:

- ✓ By AMWG: AMWG passed the following at its April 29-30 2009 meeting (#5 of the budget motion):
 - [AMWG directs TWG to] [d]velop a discussion paper on the pros and cons of the two budget approaches described in Issue of Concern #9, for submittal to AMWG at its August meeting.
- ✓ By TWG: TWG passed the following motion at its July 1, 2004 meeting:
 - TWG recommends that the budget process specified by the budget ad hoc group be considered by the AMWG for adoption at its August meeting and applied to the '06 budget with details on reporting to be provided by GCMRC. *(See the discussion paper, attached. The motion included the Kubly presentation included in the discussion paper as Attachment 1, and an Excel timeline spreadsheet included as Attachment 2).*
- ✓ By AMWG: AMWG passed the following motion at its August 9-11, 2004 meeting:
 - To adopt TWG-recommended budget process, adding an annual priority-setting session by AMWG, and adding an interim step of review and feedback on the budget and workplan by AMWG before approval of the budget. *(included in the discussion paper as Attachment 3)*
- ✓ By AMWG: AMWG passed the following motion at its April 13, 2001 meeting:
 - AMWG approved Appendix H to the AMP Strategic Plan, which outlines a budget process and recommendations. *(included in the discussion paper as Attachment 4)*

Background Information

TWG workplan

TWG's workplan for the next year will be presented at the meeting. Major activities for TWG to consider include the following:

- a) A general core monitoring plan for all resources
- b) Specific core monitoring plans by resource (e.g., fish, vegetation, sediment)
- c) 2008 HFE reporting and HFE synthesis (96, 04, 08)

Humpback Chub Comprehensive Plan

- d) Near shore ecology research plan/fall steady flow study/flow transition period study
- e) Review the nonnative fish removal activities (LCR reach) and make recommendations
- f) Consider and recommend implementation of Fish Protocol Evaluation Panel (PEP) recommendations, as appropriate
- g) 2000 LSSF synthesis report
- h) Update TWG Operating Procedures
- i) 2011-12 budget and workplan
- j) Management Actions (if AMWG directs)

Proposed TWG meeting dates:

September 28-29, 2009

January 12-14, 2010 – annual GCMRC reporting meeting and TWG meeting

March 2010 (week of 15-19) – initial budget review

June 2010 (week of 21-25)

Other meeting options: TWG will investigate the use of web conferences to facilitate technical evaluations of research proposals and reports in order to increase efficiency and TWG effectiveness.

Formation and disbandment of TWG ad hoc groups

TWG reviewed a long list of ad hoc groups and determined which ad hocs should continue. This had not been done in some time. The current ad hocs are:

Budget. Chair Dennis Kubly. Re-established June 22, 2009.

Charge: The Budget Ad Hoc Group (BAHG) will develop an annual budget recommendation (biennial) for TWG utilizing input from the CRAHG, GCMRC, and BOR. This is to include an initial budget recommendation during the spring TWG meeting and a final recommendation during the summer TWG meeting. The BAHG should also draft an update to Appendix H in the Strategic Plan that describes the current budget process. Originally established November 12, 2003.

Cultural Resources. Chair Kurt Dongoske. Re-established June 22, 2009.

Charge: The Cultural Resources Ad Hoc (CRAHG) will review the annual budget recommendation on cultural program issues and make recommendations to the BAHG. Additionally, the CRAHG will review the treatment plan and the cultural properties monitoring program and make recommendations to TWG. Originally established September 6, 2001.

Humpback Chub. Chair needs to be determined. Re-established June 22, 2009.

Charge: Develop a comprehensive research and management plan for humpback chub for TWG and AMWG review. Originally established January 28, 2003.

Species of Concern. Chair Larry Stevens. Established June 22, 2009.

Charge: Provide a draft report to be presented to AMWG on or before May 1, 2011, that contains the following with regard to species of management concern in the CRE: a review of information about and assessment of the status of habitat needs and availability, and ecosystem roles of the species. The ad hoc should utilize the expertise of GCMRC in the development of the report.

Geomorphological Model. Chair needs to be determined (coordinated by Helen Fairley, GCMRC). Established June 22, 2009.

Charge: Develop a scope and objectives for a geomorphological model that would evaluate dam effects on cultural sites, with no budgetary implications for FY10-11, to be provided to TWG as soon as practicable.

Future Budget Process Discussion

AMWG directed the TWG to develop a discussion paper on two options for a biennial budget process. The biennial budget process approved in 2004 helped to bring some needed structure to the budget process. Within that structure, the primary element was a biennial budget and workplan that would roll the second year of the budget into the first year of the next budget such that each year TWG would develop a 2-year workplan. This approach was intended to provide some planning benefits in looking forward a few years and provided the opportunity for non-federal entities to lobby for additional federal funding. However, some of the benefits envisioned in 2004 may not have materialized and other conditions may have changed. The FY 2010-11 workplan was the first attempt at developing a biennial workplan and it led some members of the TWG family to question whether it was still a good approach. AMWG requested that this document be developed to contrast the idea of a two-year rolling budget (as approved in 2004) and a two-year budget (non-rolling budget similar to the upper basin recovery program).

The major components of the 2004 budget process were described as:

- Two-year budget and workplans with rollover of year 2 into year 1 of the next biennial budget, and would include (yet undeveloped) criteria for reopening the budget
- Appropriations request for Federal agency budget or for Congressional write-in
- Strategic five-year outlook to forecast major changes, determine need for contingencies, and develop draft out-year projects
- Fiscal Reporting, expenditures for the previous fiscal year
- Project Progress Reports, mid-year and end end-of-year reports
- Budget Spreadsheet (*like the currently used version*) and workplan

The attached discussion paper describes how a non-rolling budget might work and the benefits of that approach. The biggest benefit is that every other year we would avoid the substantial budget discussions that currently occur, thus allowing TWG to focus more on strategic planning and reviews of research programs.

Biennial Budget Process Discussion Paper
Glen Canyon Dam Adaptive Management Program
July 7, 2009

1.0 Overview of the issue

The budget process approved in 2004 helped to bring some needed structure to the budget process. Within that structure, the primary element was a biennial budget and workplan which would roll the second year of the budget into the first year of the next budget such that each year TWG would develop a 2-year workplan. This approach was intended to provide some planning benefits in looking forward a few years and provided opportunity for non-federal entities to lobby for additional federal funding. However, some of the benefits envisioned in 2004 may not have materialized and other conditions may have changed. The FY 2010-11 workplan was the first attempt at developing a biennial workplan and it led some members of the TWG family to question whether it was still a good approach. Thus AMWG requested that this document be developed to contrast the idea of a two-year rolling budget (approved in 2004) and a two-year budget (non-rolling budget similar to the upper basin recovery program).

2.0 History of the 2004 approved biennial budget process and related actions

A concise description of the budget process approved in 2004 does not appear to be in the record. However, Attachment 1 and 2 provide the best description of the components of the program and Attachment 3 (AMWG minutes) describes some of the discussion which took place. The TWG minutes from July 1, 2004 provide no explanation except for the budget motion. Thus, description of the approved process is taken primarily from Attachment 1 and 2. A key premise of the budget process was that core monitoring would be developed and much of the budget (potentially up to 95%) would be agreed upon and only a small fraction of the research would be open for debate each year.

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- Budget Spreadsheet (like our current one will be used) and workplan

Appropriations Request: During the 2004 process, the BAHG recommended the formation of a new TWG/AMWG ad hoc, or supplementation of the BAHG, to investigate appropriations request process and identify format and content for this request process. Consider appropriations requests by federal agencies in the President's budget and requests to Congress by non-federal stakeholders. This appropriations funding component for non-funded research activities was seen as an important benefit of the biennial budget.

AMWG April 29-30, 2009

Motion: Develop a discussion paper on the pros and cons of the two budget approaches described in Issue of Concern #9, for submittal to AMWG at its August meeting.

TWG July 1, 2004

Motion: TWG recommends that the budget process specified by the budget ad hoc group be considered by the AMWG for adoption at its August meeting and applied to the '06 budget with details on reporting to be provided by GCMRC. The motion included the Kubly presentation (Attachment 1) and Excel timeline spreadsheet (Attachment 2).

AMWG August 9-11, 2004

Motion: To adopt TWG-recommended budget process, adding an annual priority-setting session by AMWG, and adding an interim step of review and feedback on the budget and workplan by AMWG before approval of the budget. (Attachment 3)

AMWG April 13, 2001

AMWG approved Appendix H to the AMP Strategic Plan which outlines a budget process and recommendations. (Attachment 4)

3.0 Description of a two-year non-rolling budget process

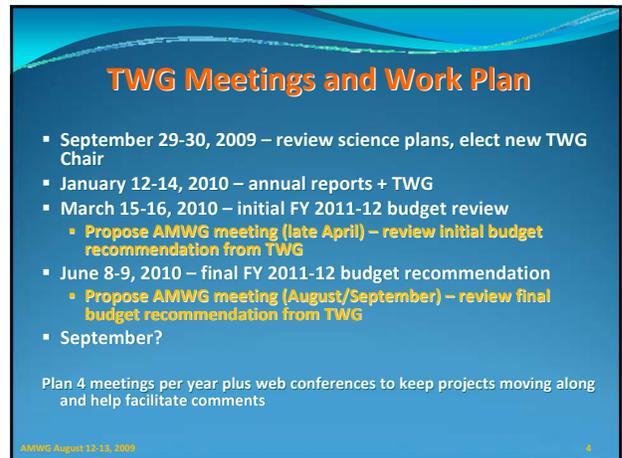
An alternative to a rolling budget would be a two-year non-rolling budget (see Attachment 5). This is the approach taken by the upper basin RIP. The process is fairly simple, you develop a two-year budget the first year of the process. Then, in the second year you revisit year two of the budget and make only small corrections in the budget to allow for minor changes in projects or potential new starts not envisioned during year 1. The key benefit to this process is that substantial effort is saved in year 2 of the budget process allowing for time and effort to be used in evaluation research and other activities instead of working on a budget. The rest of the process would be as described in 2004, reporting requirements, budget spreadsheets and a workplan would all be developed. We would also still hold the annual reports meeting workshop in January to review progress on the previous year's workplan.

4.0 Comparison of the pros and cons of the two budget processes

There appears to be general support for a 2-year budget process of some approach. The benefits of looking forward two years allows for better planning and consideration of how the budget will change as projects sunset and new responsibilities arise, it helps to promote planning. The two processes are really quite similar and come down to just a few key issues. First, in 2004 an important consideration in developing the two year budget was an ambition to use the out-year budget to lobby for unfunded research projects. This was seen as a way to expand the research program with funds from outside the program. However, this lobbying effort never really materialized in part due to no 2-year budgets never being developed. It is unclear how much effort any of the program participants would like to put into future lobbying efforts or if this idea has faded. Second, the effort needed to develop the budget and workplan is quite large and uses a substantial amount of the TWG time and energy leaving little time to work on planning and adaptive management. The TWG spends nearly two full meetings per year working on the budget plus numerous BAHG meetings and the annual reports workshop in January. This leaves only about 1-2 meetings per year available for non-budget issues. The two year budget process does not seem to adversely affect the upper basin RIP and in fact it seems to function quite well, and they do participate in a substantial amount of budget lobbying for outside funds. A counter argument is that the budget is the most important thing that the TWG does and we should not be reducing the amount of time we spend on it. It is true the budget is important, but the program should try to strike a balance between the budget and working on adaptive management.

Table 1

Activity	2-year Rolling Budget (2004)	2-Year Budget (non-rolling)
First year process	Develop 2 year budget	Develop 2 year budget
Second year process	Roll year 2 to 1, develop new year 2	Minor changes to year 2, work on other projects
Appropriations request	Always have a 2 year view	Every other year a 2 year view
Time/effort year 1	2 TWG meetings/year, 1 TWG reports workshop plus parts of 2 AWMG meetings	2 TWG meetings/year, 1 TWG reports workshop plus parts of 2 AWMG meetings
Time/effort year 2	2 TWG meetings/year, 1 TWG reports workshop plus parts of 2 AWMG meetings	1 part of a TWG meeting/year, 1 TWG reports workshop plus part of 1 AWMG meeting
Annual Budget Evaluation	Substantial time spent on the budget and budget issues	Every other year very limited time spent on budget. Time would be spent on planning, adaptive management, and planning



Major Topics This Year

Major activities for TWG to consider include the following:

- A general core monitoring plan for all resources
- Specific core monitoring plans by resource (e.g., fish, vegetation, sediment)
- 2008 HFE reporting and HFE synthesis (96, 04, 08)
- Near shore ecology research plan/fall steady flow study/flow transition period study (TWG comments due Sept 4)
- Nonnative Fish Control Plan (comments due Aug 30)
- Review the nonnative fish removal activities (LCR reach) and make recommendations
- Consider and recommend implementation of Fish Protocol Evaluation Panel (PEP) recommendations, as appropriate
- 2000 LSSF synthesis report
- Update TWG Operating Procedures (voting, time lines, etc)
- FY 2011-12 budget, work plan, and hydrograph
- If AMWG directs: Management Actions, Desired Future Conditions, Priority Questions

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TWG Chair Thoughts

TWG/AMWG Coordination

Re-focus on technical issues

Program planning/guidance

Focus on adaptive management

Evaluate effectiveness/SSQs

Use web conferencing

Coordinate with GOMRC

Reduce effort on budget/BAHG



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Future Budget Process Discussion Paper

History –

AMWG Aug 9-11, 2004: To adopt TWG-recommended budget process, adding an annual priority-setting session by AMWG, and adding an interim step of review and feedback on the budget and work plan by AMWG before approval of the budget. Motion approved by consensus.

AMWG April 29-30, 2009: Develop a discussion paper on the pros and cons of the two budget approaches described in Issue of Concern #9, for submittal to AMWG at its August meeting.

This is our first year of implementation of the two-year budget
Discussion Paper includes 4 attachments for historical perspective

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2004 Biennial Budget Components Two-Year Rolling Budget Process

- Two year budget and workplans with rollover of year 2 into year 1 of the next biennial budget, and would include (*yet undeveloped*) criteria for reopening the budget
- Appropriations request for Federal agency budget or for Congressional write-in
- Strategic 5-year outlook to forecast major changes, determine need for contingencies, and develop draft out-year projects
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We want to avoid this



Next Steps

Discussion:

- Should we adopt an approach similar to the upper Colorado River basin RIP budget process – two-year non-rolling budget?
- How important is appropriations requests and having a two-year budget every year?

Need to update Appendix H of Strategic Plan as there is no clear budget guidance document

Should TWG develop a revised Appendix H which outlines a rolling or non-rolling budget approach?