

Biennial Budget Process Discussion Paper
Glen Canyon Dam Adaptive Management Program
June 12, 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 10 and 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 RIP).

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.

The major components of the 2004 budget process was 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 5-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 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

TWG BUDGET PROCESS RECOMMENDATION

*The TWG agreed on July 1, 2004,
to recommend to AMWG a two-year
rolling budget and workplan
development process*

Budget/Workplan Inputs

- AMP Strategic Plan (Information Needs, Management Objectives, Goals)
- GCMRC Strategic Plan
- Core Monitoring Plan
- Long-term Experimental Plan
- SCORE Report
- Previous Year's Budget and Workplan
- Previous PEP Recommendations

Major Components

- Two year budget and workplans with rollover of year 2 into year 1
- 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 outyear projects

Fiscal Reporting

- *Expenditures for the previous fiscal year, including:*
 - *Salaries and Benefits*
 - *Logistics*
 - *Travel*
 - *Supplies*
 - *Equipment*
 - *Administrative Costs (Overhead/Indirect Cost)*
 - *Contracts and Coop Agreements*
 - *Carryover Funds*

Project Progress Reports

- *Mid-year and end-of-year reports*
- *Progress/status of projects*
- *Are funds obligated?*
- *Is the project in progress, has it been submitted to contracting ?*
- *What percentage of project has been completed?*
- *Reports received and reviewed*

Budget Spreadsheet

- *Format as in FY 2005*
- *Add explanation of abbreviations for project categories*
- *Include AMWG briefing papers for projects not achieving consensus*
- *Include source of funds where identified*

Workplan Format

- *As in FY 2005*
- *New projects would have detailed NSF-level proposals and workplans prior to implementation*
- *Add reference to core monitoring plan or long-term experimental plan protocols for design, precision and accuracy that dictate frequency, intensity, and distribution of sampling regimes*
- *Add text to identify actual cost savings if the project is not funded, i.e. GCMRC fixed costs are not saved if project is not funded*

Appropriations Request

- *BAHG recommends formation of new TWG/AMWG ad hoc or supplementation of 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*

Strategic Analysis

- *Program review based on documents prepared as an outcome of projects implemented, including resource status and trends*
- *Identification of long-term changes in program implementation, planned and unplanned*
- *Identification of potential outyear projects, contingency plans for uncertain events*

Potential Next Steps

- For AMWG consideration and use at August workshop
- Foundation for FY 06 budget and workplan being developed through Core Monitoring Plan and Long-term Experimental Plan
- Need integration with outcome of AMWG prioritization

Attachment 2

GLEN CANYON DAM ADAPTIVE MANAGEMENT PROGRAM BUDGET AND WORKPLAN DEVELOPMENT¹

	2004 (Prior)				2005 (Present)											2006 (Present +1)											2007 (Present +2)							
	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M
Prior year GCMRC/BOR fiscal reports²																																		
GCMRC/BOR report to TWG and AMWG																																		
Prior and Present Year Updates																																		
GCMRC/PA/TWG Updates to AMWG																																		
Present Year +1/+2 detailed budget/workplan²																																		
GCMRC/BOR/PA draft budgets/workplans to BAHG																																		
GCMRC/BOR/BAHG draft budget/workplan to TWG																																		
TWG review and recommendation to AMWG																																		
AMWG review and recommendation to DOI																																		
Present Year +2 appropriations budget request																																		
GCMRC/BOR/BAHG prepare draft approps request for TWG																																		
TWG review and recommendation to AMWG																																		
AMWG review and recommendation to DOI																																		
Present Year +3 to +5 strategic analysis																																		
GCMRC/BOR/BAHG prepare draft for TWG																																		
TWG review and recommendation to AMWG																																		
AMWG review and recommendation to DOI																																		
GCMRC/BOR/PA implement Present Year +1 budget																																		

¹ Year +1 and Year +2 budget/workplans developed concurrently; review of Year +2 budget when it becomes Year +1 budget limited to criteria developed by BAHG and TWG

² Schedules assume AMWG meets in January and July; TWG meets at least quarterly as defined in their operating procedures

Fiscal Year Legend = ■ 04 ■ 05 ■ 06 ■ 07 ■ 08 ■ 09 ■ 10 ■ 11 ■ 12

Introduction: Michael Gabaldon welcomed the members, alternates, and general public. Attendance sheets were distributed and a quorum established.

Mike announced that items not addressed in yesterday's agenda would be added to tomorrow's agenda. He also recognized the presence of Steve Magnussen, the Secretary's former designee for the AMP.

Budget Development Process – Dennis Kubly said when he tried to determine how the Budget Ad Hoc Group was developed, it looked like the TWG initially developed the process, brought a recommendation to AMWG, and were directed by the AMWG to proceed. The proposal for a 2-year rolling budget by the BAHG was brought to the TWG at their May meeting and then revised through conference calls and brought back on July 1. The TWG at that time agreed to recommend the proposal to the TWG. Dennis proceeded with a Powerpoint presentation (**Attachment 12a**). Following the presentation, Dennis said the BAHG would like some guidance from the AMWG on how strict or liberal they would like the criteria to be. The BAHG had also identified seeking appropriations but the process hasn't been worked out. He distributed copies of an Excel spreadsheet (**Attachment 12b**) indicating the progress of tasks that would be accomplished.

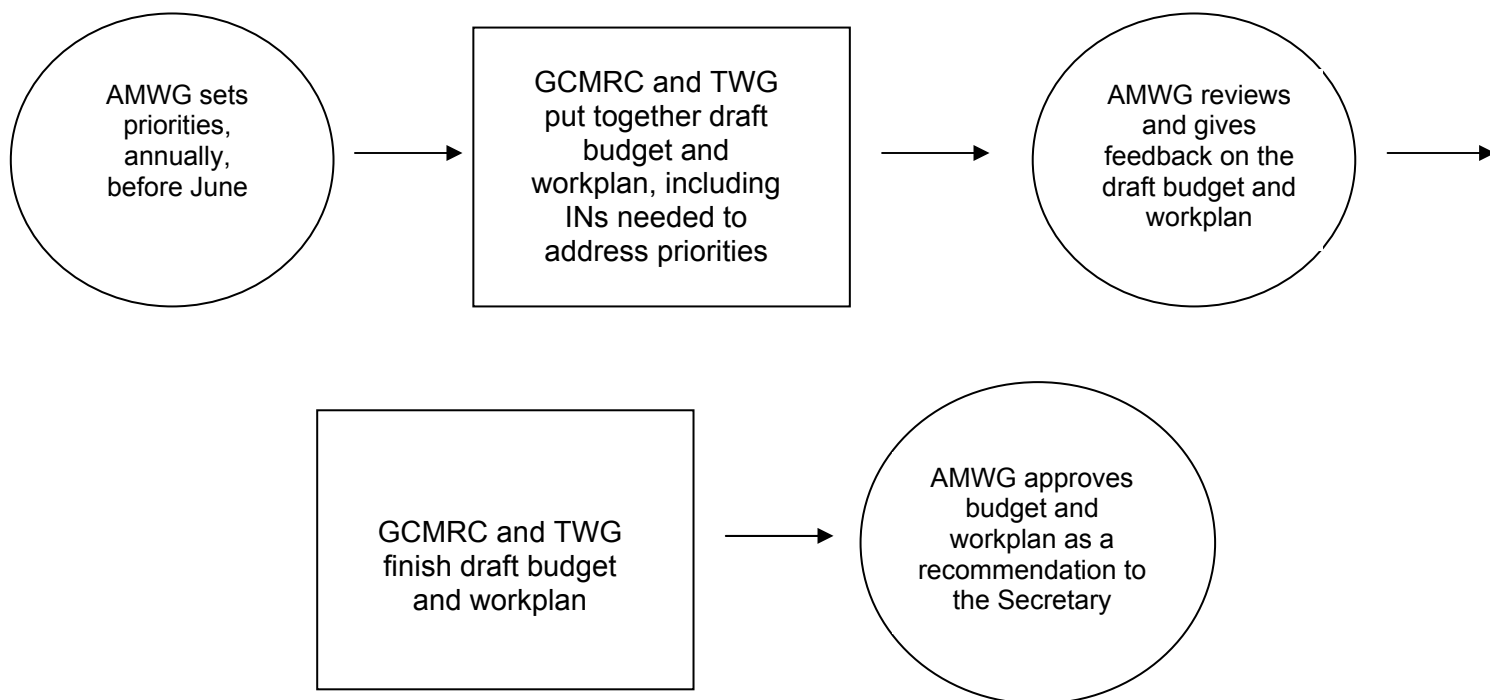
Priority Setting Workshop. Mary Orton invited the AMWG, TWG, GCMRC program managers, and PA signatories to sit at the table. She introduced Chuck Anders, president of Strategic Initiatives, and said he has 25 years experience working with complex issues in government and the private sector. He was the assistant director of the Arizona Dept. of Environmental Quality Guide for Policy and Planning and the director for the Arizona Environmental Protection Agency before it was ADEQ when it was still part of the Health Department. In 1996, he started Strategic Initiatives which is a company that specializes in using interactive technology to enhance communication and he also does environmental mediation. She reminded the members that today's workshop resulted from the AMWG retreat. The retreat attendees agreed there would be a workshop with everyone involved where priorities would be discussed and then AMWG would make the decision. Mary reminded the participants that the priorities AMWG ultimately sets will become part of the inputs to the FY06 budget process. She read the questions that had been developed for the exercise (**Attachment 13a**) and then asked Chuck to explain use of the voting machines.

The members responded to the questions. Upon completion of the workshop, the preliminary results (**Attachment 13b**) were distributed.

ACTION ITEM: AMWG members to let Mary know by Sept. 15 if they have other "numbered questions" to be added under the broad, lettered in the priority setting exercise. Send additions to mary@maryorton.com.

Continuation of Budget Development Process. Dennis Kubly said he had several questions for the AMWG: (1) Is that the clear direction that you're going to give to TWG and GCMRC? (2) Is this where it stops? He said there were questions about where in the linkage of declining importance they would cut off core monitoring or research. He said he didn't hear an answer for that question in terms of how those decisions are made or where the lines are drawn. He said it would help the TWG and GCMRC if the AMWG would give more guidance as to what they want the approach to be.

Mary asked if it made sense for the group to go back to the budget process Dennis presented earlier and stated that the major addition to the FY05 process was a 2-year cycle which may or may not be able to be implemented at the present time. She advised the AMWG they could approve the process they eventually want without actually having to implement every piece of it right now. She created a flow chart to help the members better understand the process:



Comments:

- When you have priority questions, the next step is to decide what to do with them. As an example, the priority questions are given to the GCMRC who develops a draft work plan. They then go back to the TWG or AMWG and determine if the plan reflects the right priorities. The TWG says yes or no or the AMWG says yes or no, and the plan is revised. As monitoring and research progresses and additional questions arise, then more revisions may be necessary which will affect the formulation of the next plan. What's the schedule? How many meetings does the TWG or AMWG need to have? How often does GCMRC redraft its plan based on comments from the TWG and priorities from the AMWG? It's that process that is not laid out. (Palmer)
- Maybe we have to think about additional meetings and opportunities for AMWG to be involved in the development of the work plan before the final is presented. AMWG really needs to revisit and reaffirm every year what the priorities are for the next year's work plan. I don't think they just go to GCMRC and then GCMRC develops something and goes to the TWG. I think GCMRC and TWG sit down in a 1 or 2-day meeting and talk about how to address those questions. The big change I see is an additional AMWG meeting. (Lovich)
- Maybe you add another step rather than when TWG reviews and recommends to AMWG, that AMWG processes it and gives further feedback and then it comes back to the AMWG for review and final recommendation to the Secretary. At some point we've got to trust the ad hoc group. (Beckmann)

Dennis said that once the planning documents are in place, the AMWG wouldn't need to revisit items that are already fixed components in the budget (core monitoring). With the completion of the Long Term Experimental Plan, 95% of the budget would already be complete. With the new budget process, the time preparing a work plan and budget will greatly diminish.

Clayton reaffirmed that the core monitoring piece of the budget is on a 2-year cycle but the research piece is on a 1-year cycle. As such, he feels the AMWG should revisit the research and experimental portion of the budget each year. Dennis said there isn't that kind of flexibility in the plan. Clayton said he believed an experiment needed to last long enough to pass through several hydrologic conditions. Without the

opportunity to hear what has taken place over the course of the year and be able to react, then he feels they are not doing adaptive management.

Jeff Lovich said that GCMRC would be willing to make changes insofar as they don't have to reduce the resolution of their long-term datasets. If they could increase the accuracy or increase the precision as long as they can maintain the continuous dataset that was comparable to day one, they would do it with whatever flexibility was available to them. They need to be receptive to new advances in technology and be able to adjust but they can't make a lot of compromises.

Clayton said he would like the process laid out and then the details could be assigned to the TWG. He would prefer a core monitoring program that was longer in term and didn't have to be revisited every year. However, he wants to see the core monitoring program reviewed every two years but that if changes need to be made, they can bet.

Denny Fenn said that some of the core monitoring programs could be done annually while some may be done every five years. He thinks the AMP needs to find a balance between program management and executive leadership.

**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.
Motion approved by consensus.**

NOTE: To fully explicate the above vote, the questions raised pertaining to the five priorities are listed below:

1. Why are the humpback chub not thriving, and what can we do about it? How many humpback chub are there and how are they doing?
2. What is the best flow regime?
3. What will happen when we test or implement the TCD? How should it be operated? Are safeguards needed for management?
4. What is the impact of sediment loss and what should we do about it?
5. Which cultural resources, including TCPs, are within the APE, which should we treat, and how do we best protect them? What are the status and trends of cultural resources and what are the agents of deterioration?

GCMRC Strategic Plan. Jeff Lovich said that GCMRC is still working through the process of developing their internal strategic plan. As he mentioned last fall to the AMWG, he feels strongly that GCMRC needs to have a vision for where it is going programmatically. He distributed copies of the Draft GCMRC Strategic Plan (**Attachment 14a**) along with the Science Advisors' review of general GCD AMP planning documents (**Attachment 14b**), and gave a PowerPoint presentation (**Attachment 14c**). He requested that comments on the plan be sent to him by Sept. 15 so he could incorporate and present a final plan at the next AMWG meeting (Oct. 25-26, 2004).

Comments:

- It's a good document. I know it doesn't cover the science issue that the science advisors have but it does start to lay a foundation where we have a better understanding of how you're operating your employees. I see it as being a good directional document and is a good cornerstone for better interaction in the future. I commend you on getting this thing done. (Taubert)
- Just a quick point about the mission and vision. There is some pretty good language about using other management actions interpreting the GCPA in that way, non-native fish control and other things that we've done already, shoring up historic property sites, cultural sites, things that we might do in addition

Bruce admonished that there needs to be a plan or they won't be able to get the permits. If GCMRC can't bring a plan, and can't change the dollars, then they need to line out what they're going to do.

**MOTION: That GCMRC and TWG make a recommendation to AMWG in October 2004 on warm water species studies, including a plan with dates starting in January 2005.
Passed by consensus.**

**MOTION: That TWG and GCMRC develop a draft biennial FY06-07 budget and workplan, consistent with the chub, flows, TCD, sediment, and cultural priorities (as established at the priority-setting workshop) and other appropriate inputs, for the January 2005 AMWG meeting, for review, feedback, and possible action.
Motion passed by consensus.**

Tribal Consultation Plan. Loretta Jackson distributed copies of the Draft Tribal Consultation Plan (**Attachment 18**) and said that this plan will be included in the AMP Strategic Plan. She said the plan needs to be reviewed by the Strategic Plan Ad Hoc Group along with the tribes and federal agencies. She would like to see this document incorporated into the AMP Strategic Plan. She said there are also some new parties to Programmatic Agreement and they would also need to review the plan.

The following steps need to occur:

1. The Federal agencies will meet and discuss the plan. They will provide their comments to Loretta Jackson and Dean Saugee (attorney for the Hualapai Tribe).
2. The plan will be revised and forwarded to the entire AMWG for comments.
3. The tribes will meet and hopefully agree on the document.
4. The tribal council will probably pass a resolution on the plan's acceptance.
5. The plan is incorporated into the AMP Strategic Plan.

ACTION ITEM: Loretta will send the current draft of the Tribal Consultation Plan and Addendums A&B to Linda who will distribute to the AMWG. (Posted to the AMP web site:
http://www.usbr.gov/uc/envprog/amp/amwg/mtgs/04aug09/Attach_18.pdf)

ACTION ITEM: Comments on the Draft of the Tribal Consultation Plan are to be sent to Dean Saugee, dsuagee@hswdc.com by August 26, 2004.

**Motion: Recommend to the Secretary that, upon passage of the DOI Appropriations Act, the Secretary retain and transfer \$380,000 to Reclamation, who will include an additional \$95,000 for immediate distribution to the Tribes to fund Tribal Activities associated with the AMP. This transfer will reflect a contribution of \$95,000 from each DOI agency. BIA, NPS, USGS, FWS, and Reclamation, based on the Secretary's commitment.
Passed by consensus.**

SA Operating Protocols – Dave Garrett said a memo (**Attachment 19a**) was sent to the AMWG regarding a proposal the science advisors want to make to their operating protocol. The science advisors aren't proposing any changes to the budget. The change just indicates how the science advisors receive their charge. He proceeded with a PPT presentation (**Attachment 19b**).

**MOTION: Adopt the amendment to the Science Advisors' Operating Protocol as presented.
Passed by consensus.**

Appendix H

TWG AD HOC GROUP ON BUDGET DEVELOPMENT PROCESS REPORT TO TWG

Approved by AMWG on April 13, 2001

At its September 20, 1999, meeting, after some discussion of AMP budget issues and processes, the TWG voted to form a TWG ad hoc group to “review the budget process and bring recommendations back to the TWG”. Members appointed to the group were: Cliff Barrett, chairman, Clayton Palmer, Randy Peterson, Wayne Cook, Robert Begay, Bill Persons, and Norm Henderson. During the TWG discussion of the budget issues the following comments or suggestions were made and captured on a flip chart:

1. Develop a more effective consensus building process for budget review and approval
2. Develop a better forum for discussion of minority views
3. Start budget discussions earlier in the budget process
4. Develop a prioritization method
5. Organize a “lobbying” effort in Washington, D.C., to support the budget once it is approved.
6. Develop a process for frequent updates of the TWG and AMWG on the budget as it moves through the Administration and the Congress.

The ad hoc group used these six items as the starting point for discussion and the framework for this report. This report contains the ad hoc group’s recommendations to the TWG for actions that will help in the AMP budget process.

BASIC ASSUMPTION

All of the following discussion and recommendations are based on the assumption that the AMWG wants the TWG to be deeply involved in the AMP budget process and wants to receive TWG’s recommendations on the budget and budgeting issues. This assumption should be confirmed.

RECOMMENDATION

- The ad hoc group recommends that the TWG ask AMWG for guidance on the degree of involvement AMWG wants in the AMP budget process and how much help it wants from the TWG in meeting that goal.

ITEMS 1-3

The first three items relate to having more timely and effective discussions. Effective discussions, during which all views on a topic are heard, discussed, and understood by interested and involved TWG participants has been a goal of the TWG for some time. TWG has a game plan and meeting rules that will provide for this. What is needed more than anything else is for the TWG agenda to be prepared in a way that allows enough

time for thorough budget discussions at a place in the meeting where the participants have the time and are of the mindset to apply themselves to the problem, i.e., not at the end of the meeting nor the end of the day. Let's give the budget some "quality time."

TWG consideration of the budget would be facilitated if a small group were to work with the USBR and GCMRC throughout the entire budget process, from initial formulation to formal budget presentations and on into the execution phase. TWG needs a small permanent group of members that have the time and inclination to work together on detailed budget problems. This group could then work with USBR and GCMRC in the budget process, do required liaison with TWG members, and help USBR and GCMRC bring to the TWG budgets that have had some review, had major items discussed, and are prepared for full TWG discussion and recommendation. To provide continuity from year to year this should be a permanent work group of the TWG.

A major concern with this and other proposals in this report is the potential violation of the GCMRC RFP protocols which are intended to prevent the conflict of interest that occurs when potential bidders on RFPs are involved in detailed discussions of work plans, budgets, and RFP issues. As there are several potential bidders on the AMWG and TWG, the budget review process must be done in a way that ensures there is not the perception or reality of potential bidders obtaining insider information. An extreme way to accomplish this is for all potential bidders to exclude themselves from any work plan, budget, or RFP discussions. This may result in a dysfunctional AMWG and TWG when it comes to these issues. The other extreme is for AMWG and TWG to be only superficially involved in the budgeting process at a level that may even preclude the ability to make informed recommendations to the Secretary on budget issues. The TWG Budget Group and the Director of the GCMRC, and perhaps the USGS Contracting Officer need to have a full discussion of this problem before the proposed AMP budget process is implemented.

The timing of TWG and AMWG budget considerations within the budget process has been a problem and has been discussed at the most recent meetings of both TWG and AMWG. The ad hoc group has reviewed the GCDAMP Budget Protocols and Federal Budget Process document adopted in 1998 and prepared a draft revision that attempts to provide for the current budget situation that includes both USBR and USGS funds as well as those from other agencies. A draft is attached to this report. This document should be finalized by the TWG Budget Work Group, reviewed by TWG, and presented to AMWG for adoption in July 2001.

Success will also depend on obtaining from GCMRC, USGS, and USBR budget documents that give the information needed for a comprehensive review, and are internally consistent in format. The AMWG has developed a trial format and GCMRC has been presenting its budget in this format as of FY2001. It is "a work in progress" and some patience will be required by all parties as AMWG and GCMRC work toward the "ideal." Completion of this effort could be assigned to the AMP Budget Working Group.

RECOMMENDATIONS

Regarding Items 1-3, the ad hoc group recommends the following:

- The TWG form a permanent AMP Budget Work Group
- The TWG assign the Budget Work Group the task of reviewing and finalizing the attached draft GCDAMP Budget Protocol and Process and bringing it to the TWG for recommendation to the AMWG in July 2001. The Work Group will assure that the process allows ample time for internal Tribal discussions to take place before key meetings of TWG and AMWG on budget matters.
- The TWG recommend to the AMWG that it assigns the AMP Budget Work Group the task of completing the work on standard budget formats.
- The chairman of the TWG assure that TWG agenda gives appropriate time for full discussion of the budget, and that budget documents are furnished to TWG members sufficiently in advance to allow for their review prior to the meeting.
- The TWG should discuss the way budget discussions are conducted and determine if there is a need for training the TWG in meeting process, conflict resolution, and other items that will increase the ability of the TWG to work together as a team. The TWG should then make appropriate recommendations to the AMWG and the involved Federal agencies to obtain the help needed. Adoption of this recommendation will help the TWG in all of its work, not just the budget.

ITEM 4: Develop a Prioritization Method

All parties (AMWG, TWG, GCMRC, USBR, USGS) must recognize the fact that not all funds needed and requested will always be made available. Prioritization of work is essential to the budgeting process. This is especially true as we move toward a budget that has some fixed resources (power revenues) and some that depend on further Congressional action (appropriated funds) and some that are outside the federal system (non-federal funding). A system must be devised that gives the TWG /AMWG a clear idea as to how available funds will be allocated if all the anticipated funding is not obtained. TWG/AMWG must have this information throughout the budget process so that guidance can be given to GCMRC/USBR/USGS as they go through their internal processes even before the budget goes to the Congress. There are many opportunities for budget adjustments in this process, and TWG/AMWG need to be involved if they are then to be expected to support the final budget as it goes to the Congress.

The Strategic Plan, the Goals and Management Objectives, and especially the prioritized Information Needs should serve as the base for determining budget priorities. At its basic level the budget should put the baseline monitoring and high priority information needs ahead of other activities. This will necessarily be modified year to year by hydrology and

other scientific considerations. An appropriate priority will also have to be given to PA activities included in the AMP.

RECOMMENDATION

- The ad hoc group recommends that GCMRC and USBR be requested to identify a prioritization process that they will use in the event of budget reductions anytime in the budget process. This process may include a list of items that could be reduced if required, in some order of priority. This list would then be considered by TWG/AMWG in their budget recommendation process.

ITEM 5. Organize a Lobbying Effort to Support the Budget

This breaks into two levels. The first is in the budget formulation phase while the agencies, the department and OMB are developing the budget that will be sent to the Congress. During this phase the members of TWG and AMWG need to work with the Secretary's representative to the AMWG and the Federal members of TWG/AMWG to assure that sufficient funding is proposed. This is best done during the process described above where the budget is reviewed, discussed and prioritized. The federal members and the Secretary's representative should get a good idea as to the TWG/AMWG support for the budget from these discussions, and can carry that message to the involved offices in the Department.

The second level is at the Congress. The ad hoc group views this as a task for the non-Federal members of the AMWG. The AMWG could form a group to develop a concrete game plan for this effort. The plan would include: a) identification of key Congressmen and staff members who either deal directly with the budget, or who are interested and can exert influence; b) organize a letter writing effort; c) organize visits in Washington with members and staff.

RECOMMENDATION

- The ad hoc group recommends that the TWG recommend to the AMWG the formation of a group of non-Federal AMWG members to devise and carry out a plan to gain support for the AMP program and required budget from the involved members of Congress and the Congressional Committees.

ITEM 6. Frequent Budget Updates for the TWG and AMWG

There is a need for all members of the TWG and AMWG to be fully informed on budget issues as the budget is prepared and moves through the Federal approval and appropriation process. This will be a natural result of the recommendations made above. The AMP Budget Work Group, the GCMRC and USBR will report to the TWG frequently as the budget is formulated, executed, and adjusted. More complete and timely communication and reporting of TWG members with their AMWG member will be required to aid the AMWG in understanding, accepting, and recommending the budget

to the Secretary. Further updates to the AMWG will be necessary as it organizes the support needed to carry the budget through the Administration and the Congress, and in applying the priorities.

RECOMMENDATIONS

- The ad hoc group recommends that a brief budget update by GCMRC and USBR be included on the agenda for every TWG meeting. In addition TWG members should be responsible for keeping their AMWG members fully informed on budget issues.
- AMP budget status and issues should be on the agenda for every January and July AMWG meeting, with time allocated for a full discussion. Brief status reports should be given at other AMWG meetings as needed.

GENERAL

In addition to the above recommendations the ad hoc group, having completed its work, and assuming its recommendation to form a permanent AMP Budget Committee is adopted, further recommends that this ad group on budget process be discontinued.

Attachment 5

TWG/AMWG Biennial Budget and Workplan Development Approach for 2010/11

Draft: October 9

ACTION	PLAN 2010-11 budget 2009												UPDATE 2B 2011 2010												PLAN 2012-13 budget 2011												UPDATE 2B 2013 2012													
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S		
Annual budget/workplan specific																																																		
GCMRC annual reports to TWG (AMWG), review progress, identify new starts				■																																														
TWG review of reports, progress SSQs				■																																														
Biennial budget specific																																																		
GCMRC draft initial biennial budget to BAHG new starts identified (big picture discussions, emphasis correct?)				■																																														
TWG review/recommendation of draft initial budget: receive BAHG report (technical issues)					■																																													
AMWG review of draft initial budget/workplan: receive TWG report						■																																												
GCMRC detailed budget/workplan to B/CRAHG for review						■	■	■	■																																									
TWG review/recommendation of final detailed budget/workplan: final BAHG report										■																																								
AMWG budget/workplan approval: final TWG report											■																																							
Second-year budget specific																																																		
TWG review of GCMRC reports																																																		
GCMRC updates of second year budget/workplan to BAHG, carry-overs, new starts identified																																																		
TWG review/recommendation of second year budget/workplan: BAHG report																																																		
AMWG second year budget/workplan approval: final TWG report																																																		

■	TWG or TWG ad hoc meetings/events
■	AMWG meetings/events