

GCDAMP TRIENNIAL BUDGET AND WORK PLAN PROCESS

TWG REVIEW Draft June 15, 2016

Comments due July 1, 2016

On May 6, 2010, the Adaptive Management Work Group (AMWG) approved a biennial budget, work plan, and hydrograph process to replace the annual process previously employed. This process proved to be successful and was supported by the Glen Canyon Dam Adaptive Management Program (GCDAMP). To further improve efficiency of the budgetary and planning efforts of the GCDAMP, the biennial process was extended to a triennial process for the FY 2015-2017 work plan as directed by Anne Castle in a memo dated May 7, 2014. The memo also instructed the GCDAMP to revise the work planning guidance to reflect the development of three year work plans.

1.0 Triennial Work Plan Process

The goal of the triennial work plan (TWP) process is to reduce the effort expended on the budgetary and planning process while improving the effectiveness of the Grand Canyon Monitoring and Research Center (GCMRC), Technical Work Group (TWG), and AMWG. The GCDAMP will develop a triennial work plan (TWP) the first year of the budgetary and planning cycle. Then, in the second and third years, the GCDAMP would implement the TWP making relatively minor changes for CPI and budgetary needs at GCMRC and the Bureau of Reclamation (Reclamation). In the third year, the GCDAMP would also consider potential changes in projects or important new starts not envisioned during the initial development of the TWP (Table 1).

The major components of the TWP process include:

- Three-year budget spreadsheets and work plans;
- Criteria for modifications of the budget work plan;
- Fiscal reporting, including expenditures for the previous fiscal year (mid-year and end-of-year reports);
- Annual project progress reports, including an annual reporting meeting in January; and
- Utilization of the Budget Ad Hoc Group (BAHG) to interface with Reclamation and GCMRC in developing a draft TWP, and to help the TWG develop budget recommendations for AMWG consideration.

2.0 Budget Process Components

The following describes the specific elements of the TWP process and responsibilities of associated agencies and organizations.

2.1 Budget Principles

The TWP will:

- Employ the adaptive environmental assessment and management approach to resources management that was developed by Holling (1978) and Walters (1986), and articulated in the Adaptive Management Program Strategic Plan (AMPSP) to include participation from the BAHG, TWG, and AMWG;
- Be consistent with the GCDAMP Desired Future Conditions;
- Use a collaborative science planning process as described in the MRP (Figure 1); and

- Address science needs contained within the LTEMP EIS (when completed), and GCDAMP priority questions and adaptive management needs.

The TWP will describe the scientific and adaptive management needs that it will address in a chapter within each TWP, this will enable review of these science guiding principles every three years.

2.2 Budget Ad Hoc Group (BAHG)

TWG consideration of the budgets has been facilitated by the BAHG, a small ad hoc group which has worked with Reclamation and GCMRC for many years. TWG will continue to utilize the BAHG to review the TWP and to resolve difficult technical issues. The BAHG will work with Reclamation and GCMRC throughout the budget process. The BAHG will help Reclamation and GCMRC develop and bring to the TWG budgets that are prepared for full TWG discussion and recommendation to AMWG. Thus, technical issues and resolutions of major issues will be resolved to the extent possible before full TWG review.

2.3 January Annual Reporting Meeting

TWG, in coordination with GCMRC and Reclamation, will hold an annual reporting meeting in January to review progress on funded monitoring and research projects for the previous year. GCMRC and Reclamation will provide an annual report for each GCDAMP-funded activity in the work plan. TWG will use this time to review and evaluate the progress of projects and to give direction to the BAHG in the development or review of annual budget recommendations.

2.4 Mid-year and End of Year Fiscal Reporting Including Carry Over

Reclamation and GCRMC will provide mid-year and end of fiscal year reporting of expenditures and carry over to TWG and AMWG.

2.5 Budget Spreadsheet and Work Plan

Reclamation and GCMRC will coordinate to develop a budget spreadsheet and work plan according to dates described in Table 1. The TWP will be used by TWG to provide budget recommendations to AMWG. During the second and third year of the budget, TWG would consider potential changes to the specified work plan, and recommend appropriate changes to AMWG to consider and recommend to the SOI annually.

2.6 Roles of GCDAMP Entities

- TWG Chair: The TWG Chair will endeavor to provide appropriate time for full discussion of the TWP on the TWG agenda, and encourage Reclamation and GCMRC to provide budget documents to the TWG in advance of meetings to allow for sufficient review prior to TWG meetings.
- GCMRC: Develop budget spreadsheets and work plans in a timely manner that is responsive to program direction (e.g., LTEMP EIS), and to TWG and AMWG requests and comments on draft documents.
- Reclamation: Develop budget spreadsheets and work plans for their portion of the budget that is responsive to TWG and AMWG requests and comments on draft documents.
- AMWG: Review the initial budget at its spring meeting and provide input to Reclamation, GCMRC, and TWG on priorities for general budget direction and development. Review the final

budget recommendation from TWG at its summer meeting and make a final budget recommendation to the Secretary of Interior (SOI).

- TWG: Review the initial budget spreadsheet and initial BAHG budget recommendations. Formulate an initial budget recommendation to AMWG at its spring meeting. Review the draft final budget spreadsheet and work plan and make final budget recommendation at its summer meeting for AMWG review at its fall meeting.
- BAHG: Review the initial budget spreadsheet and draft final budget spreadsheet, work plan, and hydrograph with GCMRC and Reclamation, and with input from the CRAHG and other ad hoc groups, making modifications as necessary. Provide recommendations to TWG at its spring and summer meetings.
- Science Advisors: Participate in TWG and AMWG deliberations on the budget in coordination with the Executive Coordinator. Review the final TWP proposal submitted to the TWG for review and provide written feedback to both GCMRC and the TWG.
- Other Cooperators: Other agencies and cooperators that are conducting work relevant to the GCDAMP are invited to submit work plans for inclusion in the GCDAMP and report upon those work plans at the annual reporting meeting.

2.7 Criteria for Review and Revisions of the Year-three Budget and Work Plan

In order for the TWP process to be successful in reducing the administrative burden on the GCMRC, Reclamation, and the GCDAMP, it must have clear criteria for making changes to the year-three budget. The burden of an appropriate rationale for proposing a change falls upon the proposer to make a persuasive argument. The following criteria will be used by GCMRC, Reclamation, and TWG in making recommendations to AMWG on changes to the year-three budget and work plan:

- Scientific requirement or merit: New information gained during the implementation of monitoring and research projects may result in a need to alter methods, scope, or timelines in the work plan or substantially alter or eliminate a project. This is a science need based on the experience of implementing an already approved project. This does not represent a shifting priority, but a scientific learning process which results in needed modifications to carry out the goals of the Program.
- Administrative needs: Administrative or programmatic changes may occur within the time-frame of an approved TWP. Examples might include the mitigation of an impact resulting from ESA or tribal consultation, a change in the “overhead” charges of a federal or state agency, a significant reduction of the balance of the Colorado River Basin Fund, or a failure to secure NPS permits for work in the Grand Canyon. As soon as an administrative event occurs that affects the TWP, GCMRC (or relevant agency – such as DOI) will notify the TWG.
- New initiatives: New initiatives or modifications to projects that may or may not be based on a scientific merit must be vetted through DOI. DOI will consider whether to direct GCMRC/BOR to work on these new initiatives or whether to consider them during the next full budget cycle. Given that the budget will likely be fully accounted for, direction on where to locate the funds within the current budget will be requested from DOI.

Table 1. Approximate timelines for the development and implementation of the TWP. Dates shown are estimated targets. Dates are shown which implement the 2018-20 TWP for reference.

Month	Year-1 (2017) (development of TWP)	Year-2 (2018)
December (year prior)	GCMRC produces annual project reports document.	
January	Annual reporting meeting and information synthesis (2 days) followed by 1-day TWG meeting to review budget and provide initial guidance to GCMRC and BOR. TWG reviews progress in addressing Information Needs and research accomplishments.	Annual reporting meeting (1-2 days) followed by 1-day TWG meeting with a primary emphasis on reporting results/findings/scientific advances on previous work plan.
February	GCMRC meets with tribes and DOI agencies. GCMRC follow-up with BAHG on priorities and areas of emphasis on TWP. GCMRC meets with cooperators to develop projects. AMWG meeting to discuss initial priorities. DOI and Federal family input.	
March	USGS and BOR will develop an initial TWP based on DOI priorities and input from scientists, the TWG, and DOI/DOE family. Initial TWP presented to DOI and Assistant Secretary of Water and Science.	
April	GCMRC meets with tribes and DOI agencies. April TWG meeting to consider draft TWP. Unresolved issues or conflicting priorities will be resolved by DOI in consultation with the DOI Family. GCMRC begins development of second draft TWP.	
May	GCMRC and BOR provide a second draft TWP to the TWG Budget Ad Hoc Group (BAHG), Science Advisors, DOI agencies, and tribes for their review and comment. GCMRC meets with tribes, BAHG, to get input on TWP. GCMRC develops third draft of TWP.	
June	GCMRC and BOR finish third draft for review. TWG meets to provide input on the draft GCMRC and BOR TWP and provide a recommendation to the AMWG.	TWG recommends Fiscal Year 2 (2019) of TWP to AMWG.
July	GCMRC and BOR provide a final draft TWP to the AMWG for their review.	
August	AMWG meets to provide input on the GCMRC and BOR draft TWP and provide a recommendation to the SOI.	AMWG recommends Fiscal Year 2 (2019) of TWP to SOI.
September	SOI reviews the budget and work plan recommendation from AMWG.	
October 1	Fiscal Year 1 begins under the TWP guidance.	Fiscal Year 2 begins under the TWP guidance.
November 1	Consumer Price Index becomes available.	
Late November	Science and management meeting with DOI and cooperators.	
December	Budget is finalized. USGS produces GCMRC annual project reports document for prior year work.	GCMRC produces annual project reports document.

Table 1 (continued). Approximate timelines for the development and implementation of the TWP. Dates shown are estimated targets. Dates are shown which implement the 2018-20 TWP for reference.

Month	Year-3 (2019)	Year-4 (2020)
January	Annual reporting meeting and information synthesis (2 days) followed by 1-day TWG meeting to review initial results and findings of TWP. Potential TWP changes may be identified.	Process starts again under year 1.
February		
March		
April	TWG/agencies/tribes meetings to consider mid-course adjustments to TWP at TWG meeting.	
May		
June	TWG considers and recommends mid-course adjustments to TWP and a recommendation for Fiscal Year 3 (2017) budget.	
July		
August	AMWG meets and considers mid-course adjustments to TWP recommended by TWG and recommends Fiscal Year 3 (2020) budget to the SOI.	
September		
October 1	Fiscal Year 3 begins under the TWP guidance.	
November 1	Consumer Price Index becomes available.	
Late November	Meet with DOI to outline new work plan; Science and management meeting with DOI and cooperators.	
December	USGS produces GCMRC annual project reports document for prior year work.	