

Title

A Case Study from the Structured Decision Making Workshop

Devising an equitable, objective/verifiable and transparent formula for allocating future increases in administrative funding for Wildlife and Sport Fish Restoration Divisions in the eight Regions.”

Authors

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Please see Appendix 1, Contact information for all authors.

EXECUTIVE OVERVIEW

Mr. Hannibal Bolton, Assistant Director for the Wildlife and Sport Fish Restoration Program determined that a new approach to nation-wide administrative funding was needed. He requested that the regional chiefs appoint representatives to a team comprised of Regional Office and Headquarters staff from the U.S. Fish and Wildlife Service (Service) Wildlife and Sport Fish Restoration (WSFR) Programs. This team, named the Next 75th Team (Team), was assigned the responsibility of developing a methodology for allocating future increases in administrative funding for the WSFR Programs among the eight Regions and Headquarters. The intent is to allocate the new funds so they will be allocated proportional to regional workload and to decrease any inequity. The objective is to develop a methodology to allocate these funds that is broadly acceptable because it is equitable, defensible, and transparent.

The team used a process called “Structured Decision Making” to develop and compare nine alternative methodologies for allocation of funds. Structured Decision Making (SDM) is an organized approach to identifying and evaluating creative options and making choices in complex decision situations. SDM is designed to deliver insight to decision makers about how well their objectives may be satisfied by potential alternative courses of action. SDM uses vigorous methods developed in the decision sciences.

The team reached agreement on a recommended alternative to allocate funding among the eight Regions. They identified that additional information was needed to develop a methodology to allocate funds between the Regions and Headquarters (HQ). The team provided recommendations for collection of the additional information needed to complete the assignment.

The team members brought a diverse background of education, experience and geographical representation with which to address this assignment. The following sections of this report document the detailed approach that was used to reach our recommendations.

Decision Problem and Problem Statement

Trigger: The current allocation methodology for WSFR administrative funds is inadequate because it is viewed as inequitable, not transparent, and not defensible.

Decision: In anticipation of future new monies (i.e. includes reauthorization changes in the Dingell-Johnson Act [DJ], the Pittman-Robertson Act [PR] and the State Wildlife Grant Program [SWG]; and may or may not include the Consumer Price Index [CPI]), the Team, on behalf of the WSFR programs, will develop an allocation methodology that is proportional to workload and is acceptable to all Regions and HQ. The method does not change base funding for the regions.

Frequency: The allocation methodology will be developed once and will be reevaluated in three to five years.

Key Uncertainties: Total new funds are uncertain, but this uncertainty will not affect methodology. Elements of workload are uncertain. Future organization (i.e. organizational chart, number of regions) is uncertain.

Decision maker: Mr. Hannibal Bolton will make the final decision about adoption of the new allocation methodology.

Background

The Service's WSFR Programs administrative funding has not kept pace with inflation, and new required national expenditures and other costs have further reduced the budgets of the regions. Regions have all been asked to maintain one to three vacancies in GS 12 or higher to compensate for the budget reductions. The current allocation methodology for WSFR administrative funds has drawn criticism because it is viewed as inequitable, not transparent, and not defensible.

The administrative budget funds the fiscal and grant administrators and their support systems in awarding over \$700 million annually to state fish and wildlife agencies to manage 440 million acres of wildlife habitat and to outright purchase 5.2 million acres of wildlife habitat nationwide. The funds WSFR staff administer provide 75% of the salaries of most Department of Natural Resources (DNR) staff working on fish and wildlife restoration in all 50 states and seven territories. This is a significant amount of the total wildlife and fish population and habitat management nationwide.

The WSFR administrative budget must conform to the requirements of Pittman-Robertson (PR), Dingell-Johnson (DJ) and Wallop-Breaux Acts and congressional appropriation language. Administrative funding is capped in the various transportation appropriations acts and in the Improvement Act of 2001. The program is currently facing financial shortfalls due to low caps on administrative spending (under 2%), increases in salaries due to step raises, an unmoved or even declining CPI, Improvement Act requirements that WSFR pay the Office of Inspector General (OIG) for audits of about 12 states per year, and expenses associated with developing a new data tracking system compatible with Financial and Business Management System (FBMS). If the budgets allocated among the eight regions are not proportional to each region's share of the total national effort, the shortfall is intensified and the integrity of the program nationwide is at risk. The allocation method is not based on full-time-equivalent (FTE) staffing levels and makes no judgment

on or changes to how a region converts its allocation into staffing. The existing base budget allocation method is FTE based.

Decision Structure and Analysis

This is the sequence of events; activities occurred before and during the workshop week of September 24-29, 2012. For several months prior to the workshop training at the National Conservation Training Center (NCTC), the Team met by WebEx web conferencing and conference call to develop the following:

- A final draft of the problem statement
- A comprehensive list of core work functions from which the Team would derive our workload and cost indicators. Please see Appendix 2, Comprehensive list of work activities and core functions
- With our coaches' assistance, the Team reduced our multi-page list of work activities and cost factors to the following 31 indicators:
 1. Number of grants
 2. Number of state agencies
 3. Number of Federally listed species under the Endangered Species Act (ESA)
 4. Number of cultural resources
 5. Geographic area
 6. Number of licenses
 7. Number of land grants & modifications to land grants
 8. Number of Section 7 consultations (ESA)
 9. Total apportionment funding under DJ, PR and Wallop-Breaux
 10. Total appropriated funding under SWG
 11. Number of audits per year
 12. Number of informal and formal cultural resources consultations
 13. Number of competitive grant programs
 14. Number of competitive grants
 15. Locality pay
 16. Number of EA/EIS (Environmental Assessments/Environmental Impact Statements)
 17. Number of Comprehensive Management System (CMS) states
 18. Number of litigation events/diversions
 19. Number of projects (instead of # grants)
 20. Number of formal ESA Section 7 consultations
 21. Any way to rate environmental litigation activism?
 22. Any way to quantify "States Rights" attitudes?
 23. Native vs. Non-native sport fish stocking
 24. Number of tribes
 25. Number of grants requiring monitoring of mitigation
 26. Audit findings and complexity of resolutions
 27. Government Performance and Results Act (GPRA) measure contributions
 28. Grant type
 29. Population
 30. Amount of water
 31. # PR and DJ species

- The Team identified draft objectives with a draft ends-means network. This meant that the Team separated means objectives which are associated with how to achieve the desired outcome, with fundamental objectives, which are the desired outcomes. The ends-means network showed the interrelationships between means objectives and fundamental objectives. (Please see Appendix 3, Ends-means-ends network). These appendices show the final versions completed at the NCTC SDM workshop where the Team members could meet face-to-face for discussion.
- On our last call, the Team members also each responded to the question: What would the ideal formula look like for you? This discussion helped frame and focus the SDM workshop process.

At the workshop the Team developed our method as follows:

- 1) Team revisited and finalized our **problem statement**, as presented above.
- 2) Team conversed and articulated personal values associated with the draft objectives: equitable, transparent and objective/verifiable, which combined to produce a methodology that was defensible and broadly acceptable. Team produced the hierarchy of objectives with two fundamental objectives: Objectivity (empirically measurable and verifiable) and Equitability (Please see Figure 1, Hierarchy of Objectives)

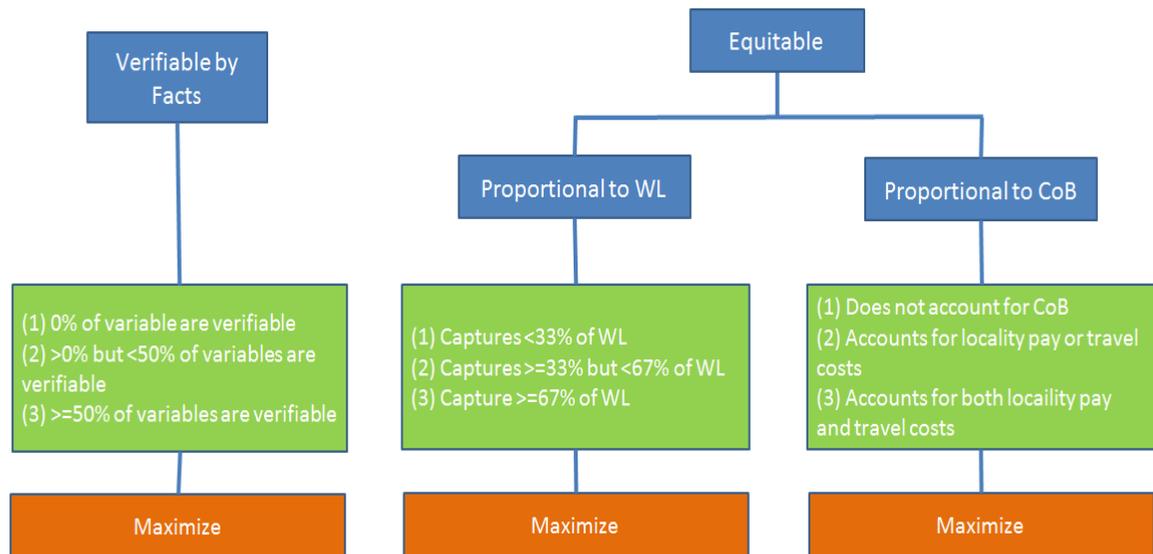


Figure 1, Hierarchy of Objectives. Key: WL = work load; CoB = Cost of Business

- 3) Instead of attempting a region-by-region approach, the coach broke the Team into four inter-regional functional groups to evaluate the usefulness of the 31 indicators and to provide preliminary weights for discussion. The functional groups were: Program – consisting of supervision, management, policy; Grants – review for eligibility, substantiality, environmental compliance and administration; Fiscal - review for fiscal compliance and administration, and HQ – those aspects of work that overlap with regional work in all areas. Each group came back with a strategy (list of useful, weighted indicators) for analyzing workload (Please see Figure 2, Four functional strategies).

Fiscal Management Strategies	
	A
# grants	x
# grantees	x
OIG Audits	
Single Audits	x
FWS Audits	x
Potential Diversions	x
Financial Reports	
Yearend Closeout	
Administrative Budget	x
Administration	x

Program Management Studies		
	A	B
Total Apportionment	x	x
# non-TWG grants	x	x
# projects	x	x
# state agencies	x	x
# formal Sec 7 Consultations	x	x
# Tribal Wildlife Grants	x	x
locality pay		
travel costs/employee (R1, R7)		x
Amount of Federal Land (State/Fed)	x	x
# CMS states	x	x

Grant Management Strategies	
	A
number projects	x
apportionments	x
number of competitive	x
number of grantees	x
number of audits	x
monitoring	x

HQ		
	A	
# of course by course type	x	
# of stakeholder engagements	x	
OMB/DOI Policy Mandates		
Audit Findings (Policy Issues)	x	
Number of Policy clarifications		
Survey Process (Only WSFR funded portion)		
Budget process by Fy (3 year process/		
# of Competitive Programs (Coordination, Ranking, Admin/Grants.gov)		
# of Personal workstations		
# of Personal workstations		
# of Procurements		
# of Staff supported by Admin Functions (Payroll, HR, HQ)		

Figure 2, Four functional strategies

The Program sub-team also added an option, B, indicators that addressed not only workload factors, but cost of doing business.

- Using these strategies, the team ran a **rapid prototype** to practice what it would be like to try these strategies and how voting would work and how to work through disagreements. The Team also analyzed the consequences to the three objectives. Now, the Team better understood the direction the process was going and how more of the parts fit together. The Team was able to evaluate the indicators and made few changes. The prototype showed the Team the need to revisit the Objectives and to add in Transparency, (please see Figure 3, Final hierarchy of objectives and Appendix 3, Ends-means network). The practice also allowed the team to think less as regions and more functionally nationwide.

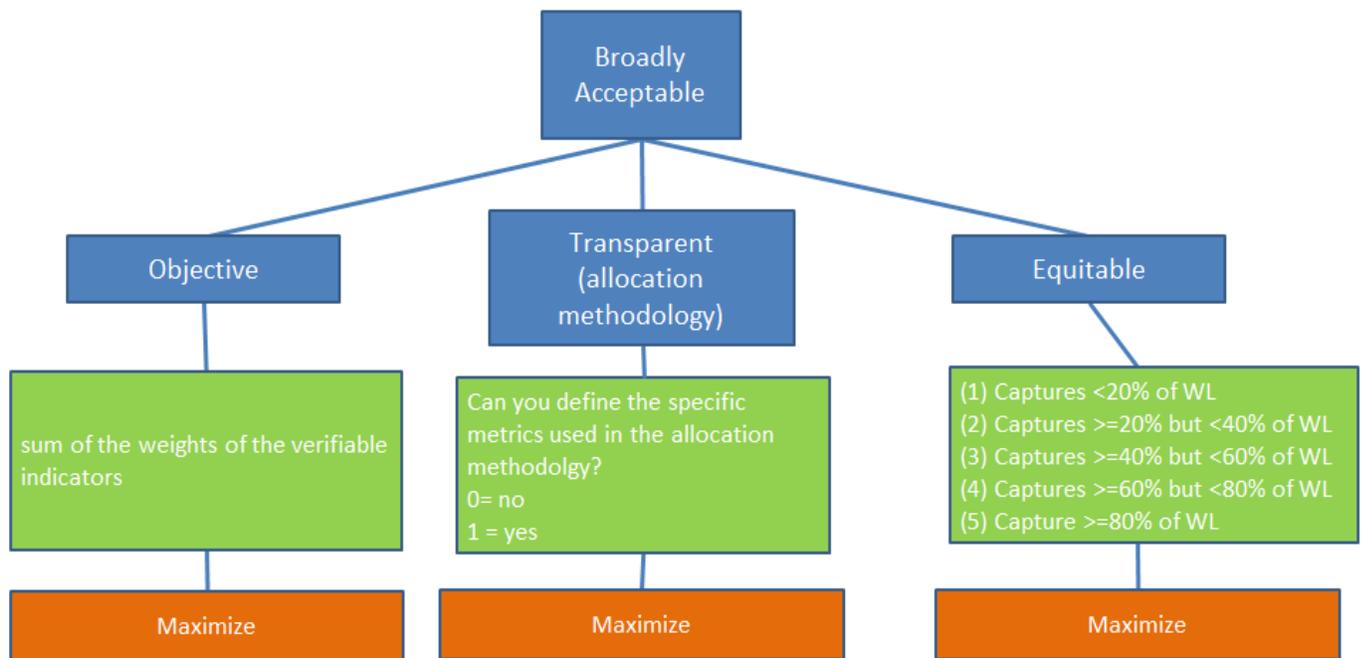


Figure 3, Final hierarchy of objectives

- 5) Having gained the experience and “Now that we know what we know about how the process works, we can solve the real problem!” the Team proceeded to work on a range of methodology alternatives to address the objectives. The Team came back together as a single group and found that trying to mix an undefined portion of HQ activities and coming to agreement on what overlapped with regional work and what didn’t was causing us to treat HQ inconsistently with the regions. Plus there was uncertainty as to the full list of HQ’s roles and contributions
- 6) To better focus the group on the issue of HQ and equity, the Team did a check of what the split of funding should be between the four groups: Program, Grant, Fiscal and HQ, as averaged in Figure 4, Two rounds of votes allocating new funds by function. The first vote highlighted the uncertainty about HQ’s roles and contributions. Fiscal experts on the Team estimated that HQ uses about 30% of the national administrative budget. Then after much discussion about HQ roles being poorly understood, the team voted again, with little change in results. At the end of this discussion, Team decided unanimously that HQ needed to be handled separately and for the moment, the Team needed to continue to analyze the eight regions
- 7) The indicators themselves were more closely scrutinized in this phase and by unanimous vote, the 31 were reduced to 12 and some were reworded. Individual votes on weighting the 12 indicators shows the range of responses). Indicators that could not easily be explained or defined (lacking in transparency) or too difficult to tabulate or normalize between regions (not objective) were removed.

First round of voting on percent of allocation of new funds for each function				Second round of voting on percent of allocation of new funds for each function			
	Average	Low	High		Average	Low	High
Fiscal	35	25	65	Fiscal	37	30	65
Grant	44	35	60	Grant	45	35	55
Program	11	0	25	Program	10	0	20
HQ	10	0	20	HQ	8	0	15

Figure 4, Two rounds of votes on allocating new funds by function

- 8) The Team unanimously decided to work with HQ, with the WSFR Assistant Director (AD)’s approval and support, to devise a means of determining an equitable portion of new funds that would stay with HQ rather than be allocated to regions. Until that portion of the work is complete, the percent of new funds to go to HQ is assumed to be zero. This allowed the Team to move on and concentrate on the regions. At the end of the workshop, Mr. Karl Hess, Co-Chair, volunteered to present the Team’s findings to the WSFR AD, requesting that he appoint a small team of HQ staff to conduct a survey of branch chiefs to identify the functions of HQ and associated FTE.
- 9) At this juncture, the Team also determined that there would be a set of alternatives for the appropriated funds, basically State Wildlife Grants (SWG) and Tribal Wildlife Grants (TWG) and a separate set of alternatives for the apportioned funds: PR, DJ and Wallop-Breaux grants.
- 10) The Team came back together in one group to combine the subsets of the 12 indicators into alternatives with weighted indicators (strategies). This was the Team’s **Alternative Portfolio**. (Please see Appendix 5, Weighted alternative methodologies for allocating new SWG/TWG funds and new PR-DJ funds). Each strategy is an alternate methodology for allocating new administrative funds, whether new appropriated SWG/TWG funds or new apportioned PR-DJ funds. The Team developed six (SWG/TWG) alternatives and nine (PR, DJ, Wallop-Breaux) alternatives. For each alternative, the indicators were re-weighted by the team using consensus and best professional judgment. Members were impressed at how similar the weightings were between individuals and regions. At the end of the workshop, the Team decided to go through this process with other WSFR staff nation-wide to test the validity of the Team’s determination of weights.

The alternatives for allocating new PR-DJ funds grew from analysis and encouragement from the Coach to think outside the box. The alternative development process allowed the Team the option of looking at extremes, of “trying on” simpler approaches in comparison to the alternatives that had more nuance, but would be much more effort to implement.

Alternative 1 is the method that used the most indicators, 12 in total. The Team crafted this alternative with much discussion on which factors to include and how to weight each. Alternative 2 provided a simpler approach with an emphasis on the effort associated with the process of awarding more or less funding, Alternative 3 added in the factor of partnering to Alternative 2 and Alternative 4 removed the amount of funds allocated so that only partnering and process remained as factors. The Team included the baseline method, the existing

approach, as Alternative 7 and Alternatives 5, 6, and 8 looked at using a single indicator to express differences in workload among regions. Alternative 5 used only the dollar amount allocated to the states by region, Alternative 6 used only the number of projects and Alternative 8 used only the number of territories. Alternative 9 is based on each region's best estimate of workload and is based on best professional judgment, not data.

Development of the SWG **alternative portfolio** was similar. As with PR and DJ, SWG Alternative 1 is the method that used the most activities and indicators. Alternative 2 provided a simpler approach with an emphasis on the effort associated with the process of awarding more or less funding, plus tribal partners. Alternative 3 added in the factor of competitive grants to Alternative 2, Alternative 4 removed tribal partners and used amount of funding, process and competitive grants as factors, Alternative 5, which is based on FTE, is the existing method and Alternatives 6 looked at using dollar amount funded as the single indicator to express differences in workload among regions.

- 11) The Team tested the **consequences** by ranking each of the alternatives against our three fundamental objectives, as shown in Figure 5 Voting results among the nine PR-DJ fund alternatives and Figure 6 Voting results among the six SWG/TWG fund alternatives. In both cases, Alternative 1 was perceived to be the best fit and the Team selected Alternative 1 as our preferred alternative. However, the ranking was not definitive as Alternative 1 was not the highest ranked in the Objectivity, in fact, was second to last. Most of the Team preferred Alternative 1 because it best addressed the differences in the work load drivers between all the regions. The Team then evaluated how well each alternative addressed the three objectives by evaluating consequences.
- 12) To the Team's collective surprise, the existing methodology was one of the three top scoring alternatives. This Alternative, 7, was not acceptable to any of the team members. Further, the top four ranked alternatives had no clear winner among all three objectives. The Team believed that two of the three objectives, transparency and objectivity (empirically measurable and verifiable) had provided the sideboard for creating the list of indicators to begin with and were being weighted twice, while equitability was not given full consideration.

Average/Sum Response		Alternatives								
Objectives	Measureable Attributes	1	2	3	4	5	6	7	8	9
Verifiable	Sum of the weights of the verifiable indicators	85.9	89.3	92.4	89.0	100.0	72.7	100.0	90.9	36.4
Transparent	0= No, I cannot explain the allocation methodology 1= Yes, I can explain the allocation methodology	11.0	11.0	11.0	11.0	9.0	10.0	9.0	9.0	4.0
Equitable (Amount of Work Load Captured)	1= <20% 2= >=20% but <40% 3 = >=40% but <60% 4 =>=60% but <80% 5= >=80%	4.7	3.5	3.7	3.8	2.5	2.8	3.1	1.5	2.5
	= Highest score									

Figure 5, Voting results among the nine PR-DJ fund alternatives

Average/Sum Response		Alternatives					
Objectives	Measureable Attributes	1	2	3	4	5	6
Verifiable	Sum of the weights of the verifiable indicators	89.3	89.9	89.9	82.7	90.9	100.0
Transparent	0= No, I cannot explain the allocation methodology 1= Yes, I can explain the allocation methodology	10.0	10.0	10.0	10.0	8.0	9.0
Equitable (Amount of Work Load Captured)	1= <20% of WL 2= >=20% but <40% 3 =>=40% but <60% 4 = >=60% but <80% 5=>=80%	4.9	3.9	3.8	3.5	2.7	2.2
	= Highest score						

Figure 6, Voting results among the nine SWG/TWG fund alternatives

The Coach recognized that the team needed to apply the global weights technique to the three objectives to maintain the importance of equitability and to determine a clear first choice.

Global weight determination is a method that applies additional weight to the objective of equitability so that its influence is not artificially overshadowed by other factors, or, to make ranked choices where two or more alternatives do not clearly outscore each other. In this case the objectivity and transparency had extra weight because only indicators that were measurable and transparent were used. Indicators that lacked these two attributes were not kept even if they were powerful indicators of equitability. Global weight determination began with asking a separate question for each objective. The Team’s scores were averaged by objective and normalized to percentages.

- For Objectivity, the Team assessed: What is the best level of objectivity you could hope for or expect in developing an acceptable allocation methodology?
- For Transparency, the Team assessed: What is the best degree of transparency you could hope for in achieving transparency (understandability) in developing an acceptable allocation methodology?
- For Equitability, the Team assessed: What is the highest proportion of workload you could hope to capture in developing a broadly acceptable methodology?

Next, the Team was asked to give each of the three objectives a ranking of 1 to 100 in importance in the context of our SDM process, with 100 being the most important. The Coach and Apprentice applied the formula: $\text{best score} + ((\text{alt value} - \text{best value}) * (\text{worst score} - \text{best score}) / (\text{worst alt value} - \text{best alt value}))$ using all of the values generated by the Team. The Team's scores were averaged in Figure 7, Global Weights. The Team applied these weights to the PR-DJ and the SWG/TWG alternatives.

Pittman-Robertson and Dingell-Johnson		
Objectives	Weights	
	Median	Average
Verifiable (objective; empirically measurable)	0.39	0.32
Transparent	0.06	0.12
Equitable	0.54	0.56

State Wildlife Grants		
Objectives	Weights	
	Median	Average
Verifiable (objective; empirically measurable)	0.39	0.32
Transparent	0.06	0.12
Equitable	0.54	0.56

Figure 7, Global Weights

- 13) The coach applied these global weights given the objectives by asking the Team to indicate the chance each of us estimated that each alternative would be equitable, objective/verifiable and transparent using a formula. Alternative 1 was the highest scoring alternative for both SWG/TWG Funds and Funds instead Alternative 8 Final ranking of the PR-DJ alternatives and in Figure 9 Final ranking of the SWG/TWG alternatives.

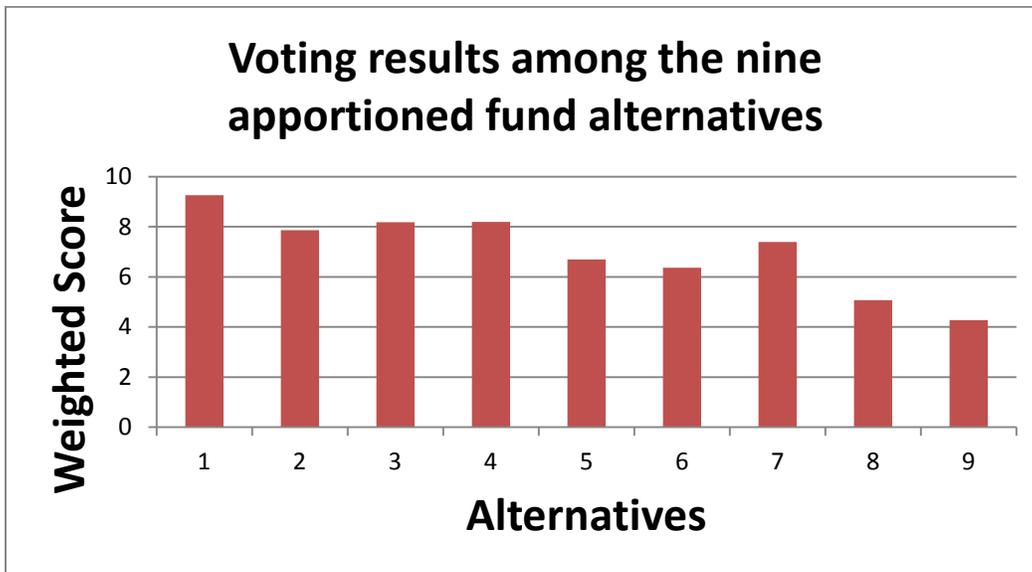


Figure 8 final ranking of PR-DJ alternatives

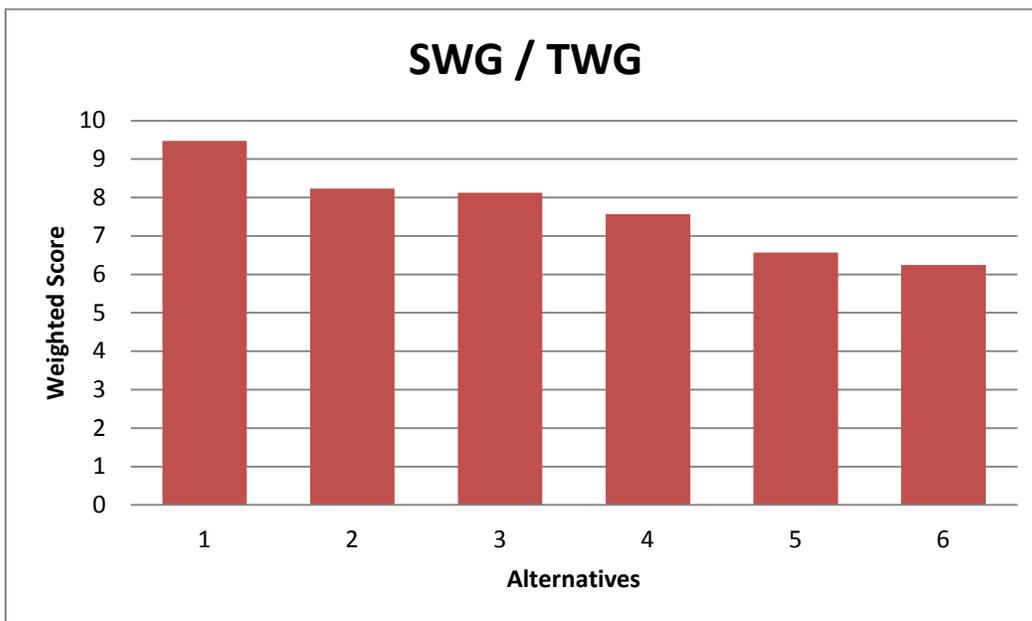


Figure 9 final ranking of SWG/TWG alternatives

14) The Recommended Alternative for PR-DJ Funds is a large group of indicators, see Figure 10 Weights for PR-DJ indicators and Figure 11 weights for SWG-TWG indicators. Many of these indicators are co-linear, for example the number of grants, the number of projects and the number of EA/EISs. However, the weighting given these indicators differs and that is where the value lies. The Team recognizes the need for each region to see a reflection of their workload in these indicators. SDM is a method to allow a group to develop shared valuation of aspects of a problem before them, not a statistical method or test.

Regions will gather the data on each indicator and numbers will be compared to the total national number to derive a percentage of the national workload for each indicator, based on a five year floating average. By keeping the database constantly updated, the model will be

responsive to changes in workload balance. Once all the data are collected, each region's indicators will be multiplied by the weighting factor, and then each region's percentage of the national work load will be calculated. There will need to be a protocol developed for gathering data on each indicator so that each region uses the same methods.

Recommended apportioned funds allocation alternative with weighted indicators	
Alternative 1 (PR-DJ)	
	Avg wts
# grants	19.3
# cultural resources consultations	3
# land grants & mod. to land grants	8.3
Total apportion \$ DJ, PR	13.7
# audits/corrective action plan negotiations per year	7.5
# of competitive grant programs ranked and reviewed (CVA, BIG, CW)	4.2
# EA/EIS	4.4
# CMS states	6.3
# projects (instead of # grants)	16.2
# formal ESA Section 7 consultations	4.8
# grantees	10.6
# territories	2

Figure 10 Weights for PR-DJ indicators

The Recommended Alternative for SWG/TWG funds is similar:	
Alternative 1 (SWG/TWG)	
	Wts
# grants	22.1
# cultural resources consultations	2.5
# land grants & mod. to land grants	6.7
Total apportion \$ SWG, TWG	14.5
# of competitive grant programs ranked and reviewed (SWG, TWG)	7.1
# EA/EIS	3.5
# projects (instead of # grants)	16.6
# formal ESA Section 7 consultations	3.2
# grantees	14.9
# TWG grants	5.4
# territories	3.5

Figure 11 Weights for SWG/TWG indicators

15) After meeting at NCTC, the Team decided to eliminate the indicator “Number of Competitive Grant Programs”. The Team normalized the weights between the remaining 11 indicators to account for the weight of this indicator. Then, the Team asked each region's WSFR Chief and staff to weight the remaining 11 indicators. Figure 12 Final weights of indicators for PR-DJ Alternative 1 and SWG/TWG Alternative 1, shows the range of weights provided by staff and Chiefs of the eight regions when polled in February 2013. As with the Team, wide disparities among regions averaged to very similar weightings by the Team in September. The Team members agreed, 10 out of 11 in favor, to average the September NCTC weights with the averaged February all-regions weights to come up with the final weights seen also in Figure 12.

Indicators for PR-DJ grants	Original Team at NCTC, weight w/12 indicators	Normalized to 11 indicators	Average of all WSFR Chiefs and staff 2013	Final Weights
# grants	19.3	20	21.9	21.0
# cultural resources consultations	3	3.1	5.5	4.3
# land grants & mod. to land grants	8.3	8.7	7.9	8.3
Total apportion \$ DJ, PR	13.7	14.3	11.8	13.0
# audits/corrective action plan negotiations per year	7.5	7.8	4.9	6.3
# EA/EIS	4.4	4.6	5.1	4.8
# CMS states	6.3	6.6	4.1	5.3
# projects	16.2	16.9	14.4	15.6
# federally listed species	4.8	5	8.8	6.9
# grantees	10.6	11	10.2	10.6
# territories	2	2.1	5.7	3.9
Sum = 100	95.8	100.1	100.0	100

Indicators for SWG/TWG grants	Original Team at NCTC, w/11 indicators	Normalized to 10 indicators	Average of all WSFR Chiefs and staff 2013	Final Weights
# grants	22.1	23	18.2	20.6
# cultural resources consultations	2.5	2.6	4.9	3.8
# land grants & mod. to land grants	6.7	6.9	8.3	7.6
Total apportion \$ SWG, TWG	14.5	15	14.1	14.6
# EA/EIS	7.1	7.4	3.1	5.3
# projects	16.6	17.3	20.8	19.0
# federally listed species	3.2	3.3	9.4	6.4
# grantees	14.9	15.5	12.6	14.0
# TWG grants	5.4	5.6	3.3	4.5
# territories	3.5	3.6	5.5	4.6
Sum = 100	96.5	100.2	100.2	100.4

Figure 12 Final weights of indicators for PR-DJ Alternative 1 and SWG/TWG Alternative 1

16) The purpose of the methodology is to remedy inequities in the regions in a go-forward fashion (rather than re-distribution of base funding; base funding will remain the same): No region will benefit to the detriment of another. To determine the baseline and to determine the percent of the deficit in each region, positive or negative the Apprentice led the Team in quantifying a

catching-up phase of allocating funds. The Team worked on this and ran out of time. The Team will pursue this in coming months.

Recommendations

- 1) The Next 75th Team recommends Alternative 1 from both funding sources be implemented to allocate new administrative funding to the eight regions. New funding is defined as increases in annual consumer price index increases, annual SWG appropriations and any proceeds from raising the limit on administrative funds for WSFR in the reauthorization of the Transportation Act. In February 2013, the Team compiled and analyzed a weighting of Alternative 1 indicators from each region. When all the regions' responses were averaged, the weights were very similar to the weights developed by the Team at NCTC. The Team averaged the two weights and that is what the final weights for each indicator in Alternative 1 are.
- 2) The Team was able to agree on a methodology for allocation among the eight regions, but did not have enough information to determine how to allocate funding between HQ. The Team also recommends continuing its work once information on HQ administrative needs are better assessed.
- 3) The Team recommends that a small sub team of HQ managers poll all of the HQ branch chiefs to find out the roles of each branch and the number of staff. The Team requests approval and support of the WSFR AD for this endeavor.
- 4) The Team will continue to meet by conference call to develop a final recommended methodology for the entire national administration by the Spring Chief's meeting.
- 5) A proposed schedule for task completion is as follows:

Mid October, 2012: Mr. Karl Hess to meet with Mr. Hannibal Bolton

November 5, 2012: Briefing for Chief's Meeting. AD Bolton will review and adjust our recommendations, then present an interim report at the Chief's meeting. As the HQ analysis will not be complete by then, the report will present the regional allocations only.

November 30, 2012: Determine which indicators can be run from data bases and which need a data call to the regions, collect data

January 15, 2013: HQ Analysis due

Regional Analysis due

The Analysis is complete and can be found in Appendix 6 2013
Headquarters Analysis

February 15, 2013: Webinar: Allocation Methodology Model with data

February 28, 2013: 75th Team Review of Draft

March 15, 2013: 75th Team Meeting (Denver, CO)

March 20, 2013: Final Report

April 8, 2013: Presentation for Chief's Meeting. (The team did not attend the meeting as there was more work to do.)

March 3, the Headquarters Analysis was released to the Team at large.

Over the summer, each participating region will collect data on all of FY 2012 for the indicators

The team will reconvene the week of September 23, 2013 to finish the project and make final recommendations.

Other items to pursue in the course of Team conference calls:

- Kick the tires – try Alternative 1, then the status quo one and maybe a couple more to see if a model with fewer variables could be good. How does this actually look when the regions plug in their data?

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Mr. Scott Knight - FWS	Scott_Knight@fws.gov	304-876-7465	NCTC 698 Conservation Way West Pond Office - 216 Shepherdstown, WV 25443
Ms. Maribel Miller- FWS	Maribel_Miller@fws.gov	703-358-2107	USFWS, Headquarters WSFR 4401 Fairfax Avenue, MS 4020 Arlington, VA 22203
Mr. Stephen Robertson - FWS	Stephen_Robertson@fws.gov	505 248 7465	USFWS, Region 2 500 Gold Avenue, SW (PO Box 1306) Albuquerque, NM 87102 (03)
Ms. Jen Stone - FWS	Jen_Stone@fws.gov	413-253-8295	U. S. Fish and Wildlife Service 300 Westgate Center Drive Hadley, MA 01035-9589
Ms. Tracey Vriens - FWS	Tracey_Vriens@fws.gov	916 414-6525	USFWS, Pacific SW Region WSFR Program 2800 Cottage Way, W-1729 Sacramento, CA 95825
Ms. Abbey Kucera- FWS	Abbey_Kucera@fws.gov	612-713-5137	USFWS Region 3 5600 American Blvd, Suite 990 Bloomington, MN 55437
Ms. Jennifer Szymanski - FWS	Jennifer_Szymanski@fws.gov	Coach	Region 3 Division of Endangered Species U.S. Fish and Wildlife Resource Center 555 Lester Avenue Onalaska, WI 54650
Ms. Cathy Thomas - USGS	ccullinanethomas@usgs.gov	970-226-9164 Apprentice Coach	US Geological Survey Economist Policy Analysis and Science Assistance Branch 2150 Centre Ave. Bldg. C Fort Collins, CO 80526

Appendix 2, Comprehensive list of work activities and core functions

Regional Program Administration	Grants Administration
General administration and supervision:	General logistics for grant applications for review prior to approval:
Ensure grant load, policy and standards within WSFR are consistent between staff and grade appropriate.	Receipt of grant documents and download from PRISM, P: or regional mailbox
Standardize training and integrate them in individual performance plans	Enter into PRISM, FAIMS, TRACS
Prepare regional administrative budgets	Notify all in WSFR who need to know that the grant is in
Performance plans, evaluations, awards	Add legacy number and FBMS number, set up folders
Resolve personnel issues	Maintain cross-walk table between FBMS and Legacy #s
Hire new staff	Set up purchase requisition order in SAP
Encourage innovation while protecting core values	Set up routing document, grant award letter, Phase II form and close-out checklist
Set goals for delivery of core functions and establish priorities that guide employees	Review budget, matching and narrative
Require accountability for work units and individuals, measure performance, timeliness in grant actions and take action accordingly	Set up subject to availability of funds conditions
Set the expectation that staff will contribute to organizational success at higher levels by participation in national program implementation, issue resolution, and internal work process improvement.	Prepare, review and conduct Cat Ex process, small-scale or generic EA/FONSI
Formulates regulations, policy, and guidance	Prepare, review and conduct Review and conducting large EA/FONSI
	Prepare, review and conduct EIS/ROD
	Formal consultation with Tribes for environmental compliance
Program Implementation:	Review and completion of in-house section 7 ESA consultation
	Review and completion of ES Field Office section 7 ESA consultation
Make policy calls – regional	Conduct Section 106 compliance - no undertaking
Make policy calls - national	Conduct Section 106 compliance – undertaking

Meet with FAC and chain of command up to the Wildlife/Fish Director	Review of state documentation of tribal consultation
Building partnerships with State Directors	Formal consultation with tribes
Resolving National and high level issues that are elevated by the Regional Chiefs to HQ ;	Coordination with Army Corps of Engineers
Maintain open, effective communication among all levels of regional staff and among regions and the Headquarters	Notify Chief of land disposals of any kind
Build or maintain a network of supporting relationships with higher levels of management of key stakeholders that maintains our state – federal partnership	Create Milestone Plans in PRISM for performance and financial reporting and any other milestones required for grant performance
Build systematic approaches to working with the grantees to obtain the information and presentation needed to process grants efficiently and respond to grantee needs	Determine project eligibility, and assure the substantially of projects in character and design.
Establish review systems that ensure that WSFR program needs are met and that efficient and economical operations are maintained	Ensure appropriate funds are available for proposed grants and assign funding codes.
Calculates apportionments to States based on license certification data – R9	Evaluate proposed non-federal match and other grant costs.
Request advice from SOL	Chief approves grants
Provide staff support to the Joint Task Force	Issue grants award correspondence that adequately informs grantees of their obligations.
Implement FAIMS/FBMS/TRACS/PRISM data bases	Upload all documents into PRISM at whatever point(s) in the grant cycle is appropriate
	Conduct close out grants process in FBMS
	Process grants for closure.
	Ensuring eligibility of states for funding, determining the level of funding per state:
	Certify state hunting license counts and fishing license counts (fresh water and marine separately)
	Run, monitor and apply EMIS reports from FBMS to monitor grant and report status and deadlines. Issue reminders to states that their reports are overdue.
	Initiate internal Easement Leases and Licenses process
	Insure assurance forms are signed and filed annually.
	Assure updated signature authority forms from states are on file and authenticate signatures on grant documents.
	Assure regional and state certifications of spending are submitted annually.

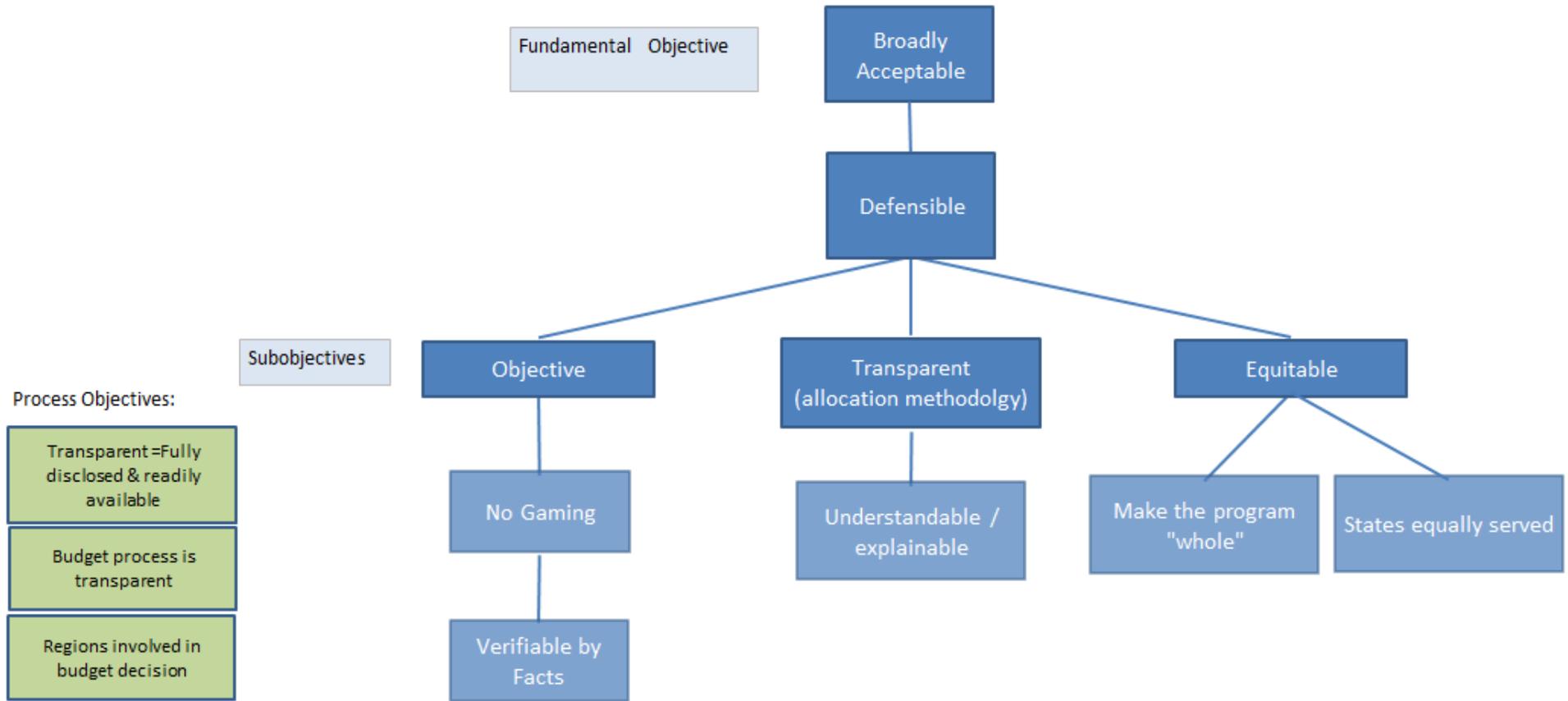
	Run apportionment calculations to determine how much each state, territory and District of Columbia receive for Wildlife Restoration and Sport Fish Restoration. Prepare announcement letter and attachments for Director.
	Active grant management – individual, regional and national levels:
	Enforce notifications of non-compliance with grant conditions and parameters.
	Adding funding to budgets
	Obligate and track funds
	Notify states of pending and overdue reports
	Review and resolve information from program reports and fiscal reports
	Fiscal and grant administrators coordinate to solve grant problems
	Monitor grants to assure activities are conducted as described in the grant application narrative.
	When an issue arises, Program and Fiscal conduct a risk assessment (best professional judgment) as to whether to go or not and what level of analysis or intervention to do based on assessment of grantee’s competency and past behavior
	Conduct general outreach to the States, tribes and other grantees to improve the partnership
	Ensure that SAP and ASAP systems reconcile.
	Conduct visits to state offices for partnering on CMS strategic and tactical plans.
	Assist grantees with revisions and modifications.
	Conduct visits to state offices for partnering on grant administration issues and policies.
	Maintain grant records and assure proper documentation in the administrative file for accomplishments, activities, correspondence, fiscal information, grant award letter, application package and all materials associated with the grant.
	Implement approved period of performance extensions, work changes, additional funds, transfer of funds to different grantee. (In FBMS, each is the same amount of fiscal work as a new and separate grant.)
	Policy:
	Develop regional policy for grant submission and review topics and FBMS procedures for Chief – fiscal and program

	Employ new or modified policies, or other direction identified by HQ.
	Review proposed policy from a regional perspective as requested by R9

Audits	Grants Administration Training and Technical Support
Regional Monitoring of Active and Closed Grants, National audits of Regions:	Technical Assistance pre-grant application:
Reconstruct income and expenditures and codes for each when issues arise or loss of control or diversion occurs	Provide technical assistance on grant preparation
Review proposed state legislation that may affect WSFR program resources	Provide technical assistance on CMS strategic plans and objectives
Send warning letters	Develops and delivers training quickly, specific to the issue and person at hand
Negotiate reparations where loss of control of diversion occur	Provide grant application guidance to grantees by making pre-approval inquiries and reviews, and provide counseling in-person or remotely;
Conduct site visits for monitoring grants, land and negotiating audit issues.	
Address audit requests during WSFR audits by contractor	Technical assistance associated with ongoing or closed grants:
Address audit requests during Tribal audits by CPA contractor.	
Determine the adequacy of Corrective Action Plans developed by State agencies as part of their	Assist states in preventing fund reversions
Releases 5-year audit policy and guidance	Assist states in sorting out accounting issues
Serve as National liaison with contract auditors	Provide technical assistance to grantees through consultation and review of grant management practices.
Provide guidance to the auditor during the audits and interpret laws, rules, regulations, and policies as needed	
Develop a framework of a systematic regional monitoring program for site visits.	
Monitor and track land grants to ensure that WSFR acquired properties are used for intended purposes.	Overall source of information, training and assistance
Ensure hunting and fishing license revenue is used only for administration of the state fish and wildlife agency.	

Reconcile WSFR land records with state land records	Train states in Grants.gov, PRISM, FBMS, TRACS and grant reporting procedures including Land Summary Statements
Conduct administrative review of fiscal and program activities and accomplishments by region	Train WSFR staff in fiscal and FBMS procedures
Ensure financial integrity, accountability, and management controls are in accordance with generally accepted accounting principles.	Assist states with preparing documents to upload to grants.gov – fiscal
Validate grantee compliance with applicable Federal laws, rules, and regulations	Maintains Intranet and Internet presence and updates FA Toolkit for National use.
Assess economy, efficiency, and effectiveness in the administration of grant funds	Identify grantee and WSFR Regional training needs.
	Organize, develop training and presentation materials for and assist with agenda and running annual Federal Aid Coordinator meetings in each region.
	Train new employees (grants managers and fiscal staff):
Formal Independent State Audits conducted by OIG contractors:	Provide and delivers basic and specialized grants management courses
	Complete the Federal Track Grant Management Certification Program (MCI)
Review the draft audit report, ensure that Regions formulate the draft Corrective Action Plan; review grantee responses to recommendations of the audit until audit findings until completely resolved; forward final Corrective Action Plan to OIG	Participate in regional and national committees and work groups to provide training, develop policy
Serve as regional liaison with contract auditors; A-133 Single Audits for DOI-PFM.	
Address audit requests from internal state audits, and tribal internal audits and federal OIG audits by OIG contractors, providing auditors with all requested federal grant files and financial documents	
Prepare Corrective Action Plans (CAP) to address audit findings and recommendations, Negotiate terms of CAP	

Appendix 3, Ends-means-ends network



Appendix 4, Individual votes on weighting the 31 indicators at NCTC

Alternative 1												
	1	2	3	4	5	6	7	8		9	10	11
1	30	10	8	20	5	23	40	25		32	25	25
4	0	5	1	3	0	2	2	3		3	3	5
7	10	20	1	5	12	5	10	1		2	3	5
9	10	10	60	10	5	16	2	2		5	25	15
12	10	20	2	5	17	7	5	2		5	0	5
15	0	5	1	2	3	4	8	5		3	3	5
18	10	5	18	15	35	23	10	15		25	22	5
20	0	0	1	5	5	5	2	5		2	5	5
32	30	10	4	15	15	10	15	25		15	5	20
33	0	5	4	5	3	4	5	15		5	8	5
34	0	10	0	15	0	1	1	2		3	1	5
Check	100	100	100	100	100	100	100	100		100	100	100
Alternative 2												
	1	2	3	4	5	6	7	8		9	10	11
1	40	35	50	60	8	15	30	40		60	40	40
9	15	25	10	5	70	20	10	5		2	5	20
18	40	15	35	30	20	45	30	50		18	50	30
33	5	25	5	5	2	20	30	5		20	5	10
Check	100	100	100	100	100	100	100	100		100	100	100
Alternative 3												
	1	2	3	4	5	6	7	8		9	10	11
1	40	35	50	10	15	25	30	60		7	27	40
9	15	20	5	5	20	10	5	2		68	31	20
18	30	15	30	60	45	25	40	13		4	28	25
33	5	25	5	5	20	25	5	15		19	6	10
12	10	5	10	20	0	15	20	10		2	8	5
Check	100	100	100	100	100	100	100	100		100	100	100
Alternative 4												
	1	2	3	4	5	6	7	8		9	10	11
9	10	20	5	40	45	20	2	42		72	40	35
12	80	20	10	0	10	30	18	11		5	20	15
18	10	60	85	60	45	50	80	47		23	40	50
Check	100	100	100	100	100	100	100	100		100	100	100

Appendix 5, Weighted alternative methodologies for allocating new SWG/TWG funds and new PR-DJ funds

SWG/TWG Funds:

SWG

- 1) **Number of Grants:** Derived from FAIMS or TRACS
- 2) **Number of Cultural Resource Consultations:** Query to Regions for input on this, perhaps substantiated with copies for verification
- 3) **Number of land grants and Modifications:** Some from FAIMS a little from TRACS but more likely query to Regions for input on this, perhaps substantiated with copies for verification (need greater specificity and ideas here)
- 4) **Total Apportionment SWG + competitive TWG awards:** (Total PR-DJ dollars for each state in Region + New TWG awards)
- 5) **Number of competitive Ranking programs:** Number that regions WSFR staff participate in the ranking of from among: SWG & TWG
- 6) **Number of EA/EIS:** Query to Regions for input on this, perhaps substantiated with copies for verification
- 7) **Number of Projects:** From FAIMS or TRACS ... is this data accurate?
- 8) **Number of formal ESA Section 7 Consultations:** From ECOS or Query to Regions for input on this, perhaps substantiated with copies for verification
- 9) **Number of grantees:** (State SWG recipients and TWG grantees with open grants)
- 10) **Number of TWG grants:** (From National database)
- 11) **Number of Territories:** (Regions 1 and 4 only)

SWG/TWG Alternative 1	
	Wts
# grants	22.1
# cultural resources consultations	2.5
# land grants & mod. to land grants	6.7
Total apportion \$ SWG, TWG	14.5
# of competitve grant programs ranked and reviewed (SWG, TWG)	7.1
# EA/EIS	3.5
# projects (instead of # grants)	16.6
# formal ESA Section 7 consultations	3.2
# grantees	14.9
# TWG grants	5.4
# territories	3.5

Appendix 5, continued

SWG/TWG Alternative 2	
	Wts
# grants	38.0
Total apportion \$ SWG, TWG	17.0
# projects (instead of # grants)	33.0
# TWG grants	12.0

SWG/TWG Alternative 3	
	Wts
# grants	30.8
Total apportion \$ SWG, TWG	18.3
# projects (instead of # grants)	28.6
# TWG grants	12.7
# of competitive grant programs ranked and reviewed (SWG, TWG)	9.5

SWG/TWG Alternative 4	
	Wts
Total apportion \$ SWG, TWG	30.1
# of competitive grant programs ranked and reviewed (SWG, TWG)	19.9
# projects (instead of # grants)	50.0

Alternative	Single indicator	Weight
Alternative 5	Total apportion \$ DJ, PR	100
Alternative 6	FTE allocation	100

Appendix 5, continued

Apportioned Funds – Pittman-Robertson, Dingell-Johnson, Wallop-Breaux

PR/DJ

- 1) **Number of Grants:** Derived from FAIMS
- 2) **Number of Cultural Resource Consultations:** Query to Regions for input on this, perhaps substantiated with copies for verification
- 3) **Number of land grants and modifications:** Some from FAIMS a little from TRACS but more likely query to Regions for input on this, perhaps substantiated with copies for verification (need greater specificity and Ideas here)
- 4) **Total Apportionment:** Total apportioned dollars for each state in Region
- 5) **# Audits / Corrective action plan negotiations:** Number of State Audits
- 6) **Number of competitive Ranking programs:** Number that regions WSFR staff participate in the ranking of from among: CVA, BIG, Coastal, ESA Section 6
- 7) **Number of EA/EIS:** Query to Regions for input on this, perhaps substantiated with copies for verification
- 8) **Number of CMS states:** (Regions 2, 3, 4, and 6 only)
- 9) **Number of Projects:** Data derived from FAIMS then from TRACS (Are these numbers really accurate???)
- 10) **Number of formal ESA Section 7 Consultations:** From ECOS or Query to Regions for input on this, perhaps substantiated with copies for verification
- 11) **Number of grantees:**
- 12) **Number of Territories:** (Regions 1 and 4 only)

Alternative 1 (PR-DJ)	
	Ave wts
# grants	19.3
# cultural resources consultations	3.0
# land grants & mod. to land grants	8.3
Total apportion \$ DJ, PR	13.7
# audits/corrective action plan negotiations per year	7.5
# of competitive grant programs ranked and reviewed (CVA, BIG, CW)	4.2
# EA/EIS	4.4
# CMS states	6.3
# projects (instead of # grants)	16.2
# formal ESA Section 7 consultations	4.8
# grantees	10.6
# territories	2.0

Alternative 2	
	Ave. Wts
# grants	38.9
# cultural resource consultations	22.0
# land grants & mod. To land grants	39.1

Alternative 3	
	Ave. Wts
# grants	29.6
Total apportion \$ DJ, PR	22.4
# projects (instead of # grants)	27.6
# grantees	20.4

Alternative 4	
	Ave. Wts
# grants	33.2
# projects (instead of # grants)	40.4
# grants	26.4

Alternative	Single indicator	Weight
Alternative 5	Total apportion \$ DJ, PR	100
Alternative 6	# projects (instead of # grants)	100
Alternative 7	FTE allocation	100
Alternative 8	Number of Territories	100
Alternative 9	Best estimate of work load	100

Appendix 6, 2013 Headquarters Analysis

**2013 WSFR HQ Current FTE Usage and Additional FTE Need
(Excluding CIAP and Temp Employees)**

Office	Current FTEs Used							Additional FTE Need			
	WSFR	CIA	FWS	CGS	MSCG	Civil	Non-	Total	WSFR	Non-	Total
	R	P	Programs			Rights	WSFR			WSFR	
AD Office	8	1				1	2	10			
AIM Budget & Admin	5.75	0.2	0.05				0.25	6		2	2
AIM FA Policy & Oversight			2	2			4	4		4	4
AIM FA Systems			3				3	3			
AIM Info Management	6.3	0.7	1				1.7	8		1.7	1.7
AIM Audits	1.8	1.2					1.2	3			
AIM Reporting	5.8	1.2					1.2	7	1		1
PP Programs	4						0	4	1.45	0.15	1.6
PP Policy	2.65	0.35					0.35	3			
PP Survey	1.5				1.5		1.5	3			
Total	35.8	4.65	6.05	2	1.5	1	15.2	51	2.45	7.85	10.3

2013 FTEs			
Office	WSFR	Non-WSFR	Total
AD Office	8.00	2.00	10.00
AIM Budget & Admin	5.75	0.25	6.00
AIM FA Policy & Oversight		4.00	4.00
AIM FA Systems		3.00	3.00
AIM Info Management	6.30	1.70	8.00
AIM Audits	1.80	1.20	3.00
AIM Reporting	5.80	1.20	7.00
Admin & Information Management	19.65	11.35	31.00
PP Programs	4.00	0.00	4.00
PP Policy	2.65	0.35	3.00
PP Survey	1.50	1.50	3.00
CIAP			
RBFF			
Policy and Programs	8.15	1.85	10.00
Total	35.80	15.20	51.00
	WSFR	Non-WSFR	
AD Office	8.00	2.00	10.00
Admin & Information Management	19.65	11.35	31.00
Policy and Programs	8.15	1.85	10.00

FY13 Budget and Functional Analysis for WSFR Headquarters (Excludes Temporary Employees)												
Division/Branch/Function		WSFR			Non-WSFR			Total			Non-WSFR Funding	Notes
		FTE Used	Budget	Additional FTE Need	FTE Used	Budget	Additional FTE Need	FTE Used	Budget	Additional FTE Need		
AD Office	AD Office		\$1,151,859	0.00	\$336,007	0.00	\$1,487,866	0.00			AD budget is \$971,616 if actual (not HQ average) salaries used. Discrepancy covered by vacant DAD. TRACS FTE vacates June 30. WSFR 75th FTE status after June 30 uncertain. Travel is \$101,500 or 12% of AD budget; Includes AD, POP, and AIM office budgets (does not include Branch budgets).	
	Executive Leadership and Decision Making	1.25		0.10		1.35		0.00	0.00	0.00		
	Operations and Staff (DAD)	4.00		1.00		5.00		0.00	0.00	0.00		
	Coastal Impact Assistance Program			0.90		0.90		0.00	0.00	0.00		
	Joint Task Force Coordination	0.10				0.10		0.00	0.00	0.00		
	Secretarial Services to AD	1.00				1.00		0.00	0.00	0.00		
	Wildlife TRACS Coordination	0.65				0.65		0.00	0.00	0.00		
	WSFR 75th Coordination	1.00				1.00		0.00	0.00	0.00		
	TOTALS	8.00	\$1,151,859	0.00	\$336,007	0.00	\$1,487,866	0.00				
AIM Division	Budget & Admin		\$747,948	0.00	\$30,844	0.00	\$778,792	0.00			Assists FAPO in their administration. Provide some guidance to CIAP. All six FTE were originally only WSFR, but we were given no new FTE to handle CIAP or FAPO. That is where the new need is based	
	Executes and monitor's HQ Budget	1.20		0.10		1.30		0.50	0.50	0.50		
	Provides national fiscal oversight and support	1.25		0.00		1.25		0.15	0.15	0.15		
	Liaison between WSFR and Budget, Finance, HR and CFM	0.50		0.00		0.50		0.15	0.15	0.15		
	Provides Fiscal Support for HQ Grants	0.15		0.00		0.15		0.00	0.00	0.00		
	Provides Admin support for Headquarters	2.00		0.15		2.15		1.00	1.00	1.00		
	Responds to financial related inquiries about the program	0.30		0.00		0.30		0.15	0.15	0.15		
	Serves as liaison to auditors of the WSFR Program	0.10		0.00		0.10		0.00	0.00	0.00		
	Performs budget formulation	0.25		0.00		0.25		0.05	0.05	0.05		
		TOTALS	5.75	\$747,948	0.00	\$30,844	2.00	\$778,792	2.00			
	FA Policy & Oversight					\$259,700		\$259,700				External Affairs, Endangered Species, Fisheries, Habitat Conservation, NCTC, International Affairs, Law Enforcement, Migratory Birds, Refuges, Office of the Science Advisor, & WSFR+2FTEs CGS HQ funded
	HQ Support & Processing			1.50		1.50		1.50		1.50		
		TOTALS			1.50	\$259,700	1.50	1.50	\$259,700	1.50		
	FA Policy & Oversight					\$531,245		\$531,245		0.00		
	Policy & Guidance Formulation			1.25		1.25		1.25		1.25		
Audits/Financial Reviews			1.25		1.25		1.25		1.25			
FAADS, FSRS.Gov & Grants.Gov system policy oversight			0.50		0.50		0.50		0.50			
Policy/Guidance Training			0.50		0.50		0.50		0.50			
Coordination w DOI, OIG, OMB			0.50		0.50		0.50		0.50			
	TOTALS	0.00	\$0	0.00	\$531,245	4.00	\$531,245	4.00	4.00			
Financial Assistance Systems					\$474,677		\$474,677			External Affairs, Endangered Species, Fisheries, Habitat Conservation, NCTC, International Affairs, Law Enforcement, Migratory Birds, Refuges, Office of the Science Advisor, & WSFR		
FBMS Helpdesk			1.00		1.00		0.00	0.00	0.00			
ASAP Enrollment			0.50		0.50		0.00	0.00	0.00			
FA Systems User Management			0.25		0.25		0.00	0.00	0.00			
Waivers			0.25		0.25		0.00	0.00	0.00			
DOI FBMS Deployments			0.50		0.50		0.00	0.00	0.00			

	FBMS Systems Training			0.50		0.50	0.00			
	TOTALS	0.00	\$0	0.00	3.00	\$474,677	0.00	3.00	\$474,677	0.00
	Information Management		\$1,017,826		\$286,944		\$1,304,770			
	IT Security	0.65		0.09	0.09	0.74	0.09			
	IT System Administration	0.76		0.10	0.10	0.86	0.10			
	IT User Support	0.60		0.08	0.08	0.69	0.08			
	Information Management	0.21		0.07	0.07	0.29	0.07			
	Training Development	1.97		0.66	0.66	2.63	0.66			
	Training Delivery and Coordination	1.41		0.47	0.47	1.89	0.47			
	Technical Assistance and Policy Review	0.47		0.16	0.16	0.63	0.16			
	Administration, Finance and Record Keeping	0.21		0.07	0.07	0.29	0.07			
	TOTALS	6.30	\$1,017,826	0.00	1.70	\$286,944	1.70	8.00	\$1,304,770	1.70
	Audits		\$250,581		\$129,544		\$380,125			
	WSFR State Audits	1.10				1.10	0.00			
	License Certification	0.15				0.15	0.00			
	Cash Transfers/Investments	0.05				0.05	0.00			
	WSRF A-123 Reviews	0.15				0.15	0.00			
	Single Audit	0.10				0.10	0.00			
	Policy/Guidance	0.15		0.05		0.20	0.00			
	Internal Audits & Reviews	0.10		0.10		0.20	0.00			
	CIAP Audit			1.05		1.05	0.00			
	TOTALS	1.80	\$250,581	0.00	1.20	\$129,544	0.00	3.00	\$380,125	0.00
	Program and Accomplishment Reporting		\$2,623,219		\$644,106		\$3,267,325			
	Systems Security	1.00				1.00	0.00			
	Systems Administration	1.00				1.00	0.00			
	End User Support / Help Desk	0.80		0.20		1.00	0.00			
	Information Management	0.20		0.20		0.40	0.00			
	Project Management	0.80		0.20		1.00	0.00			
	Systems Development	0.40				0.40	0.00			
	Training Development, Delivery, and Coordination	0.60		0.20		0.80	0.00			
	Apportionments Process	0.10				0.10	0.00			
	License Certification Process	0.10				0.10	0.00			
	Administration, Finance and Record Keeping	0.80		0.40		1.20	0.00			
	TOTALS	5.80	\$2,623,219	0.00	1.20	\$644,106	0.00	7.00	\$3,267,325	0.00
	Programs		\$532,200				\$532,200			
	Programs Staff Management/Supervision (Branch Chief)	0.20				0.20	0.00			
	Technical Assistance and Reporting (to Regions/applicants)	0.75		0.10		0.75	0.10			
	Response to Inquiry (Congress, OMB, budget and accomplishments)	0.50				0.50	0.00			
	Program Management (RFA development, CFDA, scoring, etc.)	1.00				1.00	0.00			
	Policy & Programs									
	Division									

Coastal Impact Assistance Program, External Affairs, Endangered Species, Fisheries, Habitat Conservation, NCTC, International Affairs, Law Enforcement, Migratory Birds, Refuges, Office of the Science Advisor, & WSFR

CIAP - 1.6 FTE - \$129,543.75
SWG - .06 FTE - \$6,168.75

CIAP = 0.2 FTE
CIAP = 0.2 FTE
CIAP = 0.2 FTE
CIAP = 0.2 FTE
CIAP = 0.2 FTE

The training functional areas include an FTE and salary cost for a Program Analyst vacancy that the Information Branch has not filled and has no current plans to fill.

CIAP-1 FTE not yet filled, intend to fill.

Includes FTE and salary cost for a GIS Specialist vacancy that the PAR Branch plans to fill in FY 13.
Includes FTE and salary cost for a IT Specialist (ISSO) vacancy that the PAR Branch has no current plans to fill.

Liaison with Partners Groups and Service committees	0.70					0.70		0.00	
Policy Review and Development	0.75	0.10				0.75		0.10	
Program Evaluation and Analysis	0.10	0.80				0.10		0.80	
TOTALS	4.00	\$532,200	1.00	0.00	\$0	0.00	4.00	\$532,200	1.00
Policy		\$435,188			\$22,337			\$457,525	
WSFR Policy and Guidance Formulation (Rules, Chapters, Wiki)	0.70		0.50	0.10		0.05	0.80		0.55
Response to Policy Questions and Issues	0.25		0.25				0.25		0.25
Policy Research and Organization	0.75		0.50	0.25		0.10	1.00		0.60
Congressional/OMB/FOIA/Outside Entity Correspondence	0.10						0.10		0.00
Training Given and Received	0.20						0.20		0.00
JTF Involvement and Collaboration	0.25						0.25		0.00
WSFR Communications	0.40		0.20				0.40		0.20
TOTALS	2.65	\$435,188	1.45	0.35	\$22,337	0.15	3.00	\$457,525	1.60
Survey		\$185,063			\$203,212			\$388,275	Multistate Conservation Grant.
National Survey Administration	1.50			1.50			3.00		0.00
TOTALS	1.50	\$185,063	0.00	1.50	\$203,212	0.00	3.00	\$388,275	0.00
Coastal Impact Assistance Program					\$2,612,124			\$2,612,124	
Program Staff Management/Supervision				0.50			0.50		0.00
Response to Inquiry (Congress, OMB, budget and accomplishments)				0.50			0.50		0.00
Programmatic grant review				3.00			3.00		0.00
Fiscal grant administration				1.00			1.00		0.00
Technical Assistance / Liaison w/ Partners				2.50			2.50		0.00
Grant monitoring / TRACS data entry				2.50			2.50		0.00
Administration/Filing/Record Keeping				1.00			1.00		0.00
TOTALS	0.00	\$0	0.00	11.00	\$2,612,124	0.00	11.00	\$2,612,124	0.00
Funded Programs Outside WSFR								\$0	All from small grant funding.
External Affairs		\$210,000						0.00	
Habitat Conservation		\$61,500						0.00	
TOTALS	0.00	\$271,500	0.00	0.00	\$0	0.00	0.00	\$0	0.00
GRAND TOTALS	35.80	\$7,215,383	2.45	27.70	\$5,530,740	9.35	63.50	\$12,474,623	11.80

Note: 2013 Budget of \$7.215 M and 35.8 FTEs does not add up to HQ Allocation of \$5.832 M and 31.96 FTEs because some fixed costs are used to cover salaries and FTEs (e.g., TRACS).

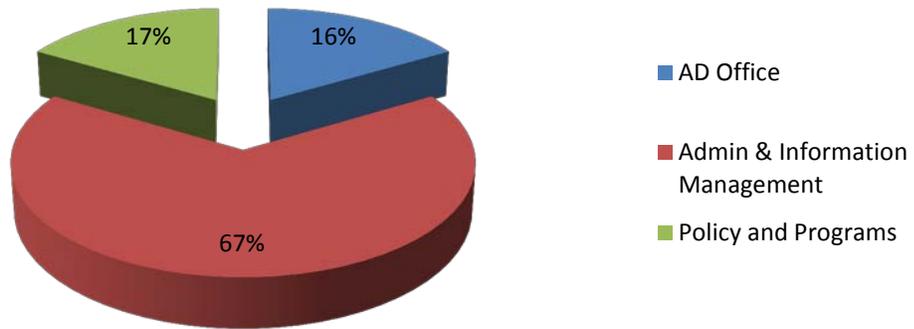
2013 WSFR Headquarters Budget

Office	2013 Budget		
	WSFR	Non-WSFR	Total
AD Office	\$1,151,859	\$336,007	\$1,487,866
Admin & Information Management	\$4,639,574	\$2,097,360	\$6,736,934
Policy and Programs	\$1,152,451	\$225,549	\$1,378,000
	\$6,943,884	\$2,658,916	\$9,602,800

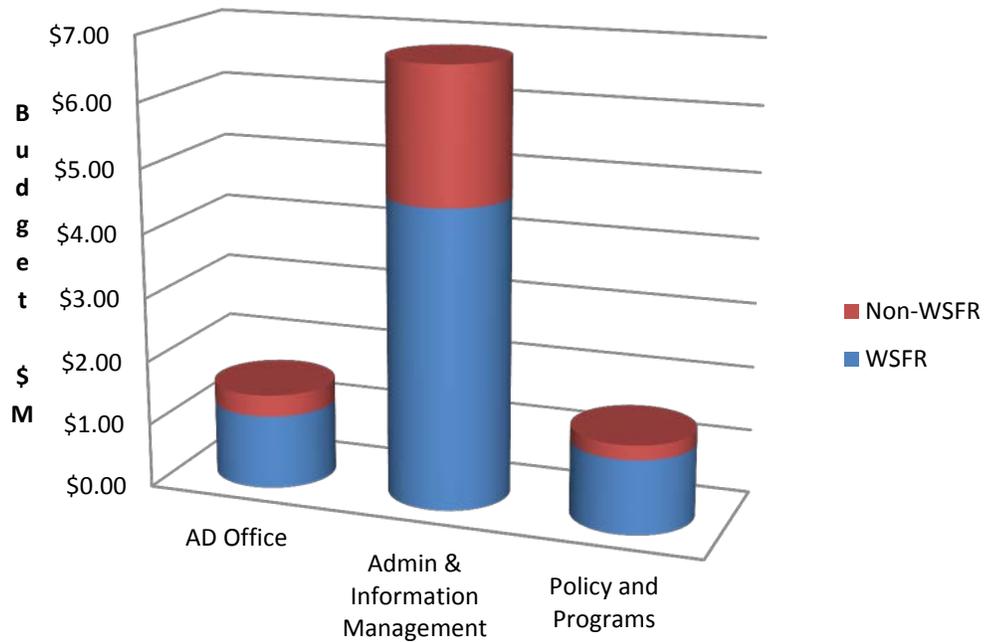
Office	2013 Budget (\$M)		
	WSFR	Non-WSFR	Total
AD Office	\$1.15	\$0.34	\$1.49
Admin & Information Management	\$4.64	\$2.10	\$6.74
Policy and Programs	\$1.15	\$0.23	\$1.38
	\$6.94	\$2.66	\$9.60

Office	2013 Budget		
	WSFR	Non-WSFR	Total
AD Office	\$1,151,859	\$336,007	\$1,487,866
AIM Budget & Admin	\$747,948	\$30,844	\$778,792
AIM FA Policy & Oversight	\$0	\$531,245	\$531,245
AIM FA Systems	\$0	\$474,677	\$474,677
AIM Info Management	\$1,017,826	\$286,944	\$1,304,770
AIM Audits	\$250,581	\$129,544	\$380,125
AIM Reporting	\$2,623,219	\$644,106	\$3,267,325
Admin & Information Management	\$4,639,574	\$2,097,360	\$6,736,934
PP Programs	\$532,200	\$0	\$532,200
PP Policy	\$435,188	\$22,337	\$457,525
PP Survey	\$185,063	\$203,212	\$388,275
CIAP			
RBFF			
Policy and Programs	\$1,152,451	\$225,549	\$1,378,000
Total	\$6,943,884	\$2,658,916	\$9,602,800

2013 WSFR HQ Budget, by Division



2013 HQ Budget by Division & Fund Source



2013 FTEs in HQ, by Division & Fund Source

